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ABSTRACT

This manual for the introductory Federal personnel management course covers: major personnel laws and sources of information; position classification (standards and task analysis); staffing and placement (competitive appointments, temporary appointments/promotions, recruitment, and noncompetitive actions); merit promotion; qualification standards; special employment programs; discipline; adverse actions (checklists and appeal system); grievances and other appeal systems; labor relations; training and career development; behavioral science and personnel management; and employee rights, obligations, and benefits. A variety of case problems are included throughout the manual. (EA)

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INTRODUCTION

TO

PERSONNEL

MANAGEMENT

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PARTICIPANTS' MANUAL

A COURSE PRESENTED BY THE
DENVER REGIONAL TRAINING CENTER
U. S. CIVIL SERVICE COMMISSION

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OBJECTIVES

After participating in this course, you should be able to discuss and apply the basic rules and guidelines on:

- Position classification
- Staffing
- Merit promotion
- Appeals and Grievances
- Adverse actions
- Discipline
- Employee development
- Performance appraisals
- EEO
- Labor-management relations

This is a beginning course. Consequently, we will attempt to start from ground zero on each subject.

As questions arise in your mind, feel free to ask them.

Caution: The materials in this packet are as up to date as we can make them. However, when you get back to the office be sure to check the FPM or other appropriate regulations before taking action. The regulations do change, and you must keep up with the changes to serve the organization effectively.

MAJOR PERSONNEL LAWS ADMINISTERED BY THE CIVIL SERVICE COMMISSION

1. The Civil Service Act of 1883 states general principles for guidance of the President and the Commission in establishing a merit system for the Federal Government.

2. Hatch Political Activity Act of 1939 gives Federal employees the right to vote and to express their opinions but prohibits specific types of political activity and prescribes specific penalties for violation.

3. The Veterans Preference Act of 1944 gave many benefits to veterans, one of which is the addition of 5 or 10 points to passing scores on competitive examinations.

4. The Federal Employees Pay Act of 1945 prescribes details on overtime, night and holiday pay; establishes the 40 hour basic workweek and the policy for scheduling tours of duty.

5. The Classification Act of 1949 establishes a classification plan and a pay plan. It provides general definition of 18 grades into which all positions covered are to be placed. It specifies a salary schedule and rules for its application.

6. The Performance Rating Act of 1950 established a basic performance rating plan.

7. The Annual and Sick Leave Act of 1951 established an annual and sick leave system, prescribed leave earning rates, and accumulation limits.

8. The Incentive Awards Act of 1954 is the authority for agencies to grant awards to employees for special contributions benefiting the government.

9. The Group Life Insurance Act of 1954 is the aughority for agencies to grant term life insurance for Federal employees.

10. The Retirement Act of 1956 prescribes a specific retirement system for the Federal service.

11. The Government Employees Training Act of 1958 states the general policy of Congress to promote efficiency and economy of the public service through government sponsored training progress both within and outside the Federal establishment. The law states general principles for guidance of the Commission and the discharging of their respective responsiilities for training, and for the agencies in discharging their respective responsibilities for training.

12. The Federal Employees Health Benefits Act of 1959 authorizes health benefits coverage for Federal employees and their families.

13. The Retired Employees Health Benefits Act of 1960 determines the Government's contribution toward the cost of health coverage of certain retired Federal employees and their families, and of certain survivor annuitants.

14. The Federal Employees Salary Reform Act of 1962 states general policies for Federal statutory salary systems: (1) Comparability of salaries with those in private enterprise for the same levels of work, and (2) Authorizes annual surveys of Federal and private sector salaries. Also, after graduated periods of service at an acceptable level of competence, employees qualify for within-grade increases in all grade levels. Additional within-grade increases may be granted for high quality performance.

15. The Intergovernmental Personnel Act of 1970 is a comprehensive piece of legislation containing numerous features designed to improve the quality of public services at the state and local levels of Government.

16. The Federal Pay Comparability Act of 1970 establishes a new procedure and delegates greater authority to the President in fixing pay for employees under the statutory pay systems, and places the initiative for maintaining pay comparability with the President rather than with the Congress.

17. The Equal Employment Opportunity Act of 1972 establishes a program which combines significant new procedures with the basic provisions of Executive Order 11478, stating that all personnel actions be free from discrimination. The new law extends the provisions of the Civil Rights Act of 1964 to Federal, State and local governments.

OTHER LAWS ADMINISTERED IN PART BY THE COMMISSION INCLUDE:

1. The Administrative Procedures Act of 1946 which details special requirements relating to hearing examiners, who hold positions of a quasi judicial nature in Federal regulatory agencies.

2. The Universal Military Training and Service Act of 1948 provides for re-employment rights of Federal employees called to military training.

3. The Dual Compensation Act of 1964 simplifies, modernizes, and consolidates the laws relating to the employment of civilians in more than one position and the law concerning the civilian employment of retired members of the uniformed services.

4. The Voting Rights Act of 1965 enforces the 15th amendment of the U.S. Constitution by assuring that the right of citizens of the United States to vote is not denied or abridged on account of race or color.

PRINCIPAL SERVICES PROVIDED BY AN OPERATING PERSONNEL OFFICE

1. Classify positions.
2. Serve as a clearinghouse on staffing needs and on qualification requirements for various occupations.
3. Requisition names of eligibles from Civil Service Registers.
4. Assist supervisors in selection of eligibles from available sources.
5. Process all appointments and other personnel actions.
6. Interview and correspond with applicants and employees.
7. Implement the agency's Federal Merit Promotion Program.
8. Interpret laws and regulations on pay, leave, insurance, training, retirement, discipline, etc.
9. Organize and provide technical consultation on employee training programs.
10. Conduct group training activities.
11. Maintain liaison with outside organizations and educational institutions for both recruitment and training purposes.
12. Counsel employees and supervisors on human relations and career development issues.
13. Sponsor programs in safety, health, recreation, incentives, and the like.
14. Participate in and coordinate discussions with union leaders.
15. Implement RIF procedures.
16. Maintain personnel records and prepare reports.
17. Make studies of such matters as turnover, employee attitudes, specialized testing.
18. Provide orientation to new employees.
19.
20.

INTRODUCTION

The FEDERAL PERSONNEL MANUAL is the Civil Service Commission's official publication containing instructions to other agencies of the United States Government on matters of personnel management. It is especially designed to meet the need for quick identification of the many laws, rules, regulations, and instructions pertinent to personnel administration in an era in which the growth in the scope and impact of personnel management policy has caused a great measure of decentralization.

The FPM consists of a basic manual and 15 separate supplements. Personnel management subjects in the FPM are arranged primarily with the convenience of agency personnel officers in mind. Both the basic manual and the supplements provide a format which makes feasible a general practice of supplementing the manual by internal agency instructions.

The basic manual is designed to give a source of ready information on the general policies and requirements in the many program areas of personnel management. The supplements to the basic personnel manual are designed to give to specialists the full and detailed information they need in the area that each one covers. The supplements are:

FPM Supplement 293-31, Basic Personnel Records and Files System for Federal Agencies
FPM Supplement 296-31, Processing Personnel Actions
FPM Supplement 305- 1, Employment Under the Executive Assignment System
FPM Supplement 335-1, Evaluation of Employees for Promotion and Internal Placement
FPM Supplement 339-31, Reviewing and Acting on Medical Certificates
FPM Supplement 512- 1, Job Grading System for Trades and Labor Occupations
FPM Supplement 532- 1, Coordinated Federal Wage System
FPM Supplement 752- 1, Adverse Action-Law and Regulations, Annotated
FPM supplement 831- 1, Retirement
FPM Supplement 870- 1, Life Insurance
FPM Supplement 890- 1, Federal Employees Health Benefits
→FPM Supplement 910- 1, National Emergency Readiness of Federal Personnel Management ←
FPM Supplement 990- 1, Civil Service Laws, Executive Orders, Rules, and Regulations
FPM Supplement 990- 2, Hours of Duty, Pay, and Leave, Annotated
FPM Supplement 990- 3, National Emergency Standby Regulations (Personnel and Manpower)

The system used for classifying subject-matter was developed after long experimentation and consultation with interested agencies and groups. Agencies who adopt it for their internal personnel management issuances will gain the fullest possible benefit from it.

Subject-matter is classified in nine major areas of interest as follows:

Chapters in the 100 Series-The Civil Service Commission
Chapters in the 200 Series-General Personnel Provisions
Chapters in the 300 Series-Employment
Chapters in the 400 Series-Employee Performance and Utilization
Chapters in the 500 Series-Position Classification, Pay, and Allowances
Chapters in the 600 Series-Attendance and Leave
Chapters in the 700 Series-Personnel Relations and services (General)
Chapters in the 800 Series-Insurance and Annuities
Chapters in the 900 Series-General and Miscellaneous

Each 3-digit chapter number is based upon the 2-digit chapter number covering the same subject in title 5 of the United States Code. It is used consistently for identification of the same subject-matter area wherever it is treated, whether in a chapter of the basic manual, a regulation, an FPM SUPPLEMENT, or an issuance such as a CSC Bulletin or an FPM Letter. For example, the chapter on retirement in title 5 is 83; thus, in the FPM the chapter on retirement is 831 and this number is used on all other documents dealing with retirement.

There are a number of mechanical aids for the use of the manual in the following FPM chapters:

Chapter 002-Table of Contents
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UNITED STATES CIVIL SERVICE COMMISSION

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SF 70	Proof of Resident
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SF 78	Certificate of Medical Examination
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SF 104	Election to make Voluntary Contributions (Retirement System)
SF 144	Statement of Prior Federal Civilian and Military Service
SF 170	Application for Federal Employment
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SF 1126	Payroll Change Slip
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SG 2800	Application for Death Benefits
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SF 2801A	Superior Officer's Statement in Connection With Application for Total Disability Retirement
SF 2802	Application for Refund of Retirement Deductions
SF 2803	Application To Make Deposit or Redeposit
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W-4	Employee's Withholding Exemption Certificate

CHAPTER 003

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LOCATING INFORMATION THROUGH THE INDEX

This index refers you to the code numbers and general location of the listed subjects; for the exact location see the pertinent FPM chapter, FPM Supplement, or other publication cited in the index. A code number, which will help you locate manual material and FPM Letters and CSC Bulletins on a specific subject, remains constant throughout the Federal Personnel Manual System. Thus, code number 831, which covers the civil service system, is given to FPM chapter 831, FPM SUPPLEMENT 831-1, and civil service regulation 831 on retirement, and to FPM Letters and CSC Bulletins dealing with retirement.

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EXERCISE: INTERPRETING AND APPLYING FPM INSTRUCTIONS

Time-after-competitive-appointment restriction. An agency may promote an employee or reassign him to a different line of work or to a different geographic area, and it may transfer a present employee or reintstate a former employee of the same or another agency to a higher grade or to a different line of work or to a different geographical area only after three months have elasped since the employee's latest non-temporary competitive appointment. This waiting period applies to all competitive appointments from registers of eligibles. The time-after-competitive-appointment restriction is a separate requirement from the time-in-grade restriction for promotion.*

SITUATIONS

1. After 83 days on the job, a GS-6 Secretary, appointed from the register, was reassigned to a Management Analyst job, GS-5, in the same agency in the same city. CORRECT INCORRECT
Reason:____

2. After two days on the job, a GS-4 Clerk-Typist, appointed from the register, was transferred to a GS-4 Clerk-Typist job in another agency in the same city. CORRECT INCORRECT
Reason:____

3. After 30 days on the job, a GS-4 Clerk-Typist, appointed from the register, was reassigned to a GS-4 Clerk-Typist position in the same agency in the same city. CORRECT INCORRECT
Reason:____

4. After 100 days on the job, a GS-9 Administrative Officer, appointed from the register, was reassigned to a Computer Specialist position, GS-12. The employee, a preference eligible with career status was a Computer Specialist, GS-12, for 8 years. CORRECT INCORRECT
Reason:____

*REFERENCE: FPM Chapter 330, "Recruitment, Selection, and Placement (General)" Subchapter 5. "Restrictions to Protect Competitive Principles."

POSITION CLASSIFICATION INCIDENTS

The employee, in each instance, questions the grade of his/her position and asks the supervisor to support a reclassification at least one grade higher.

Please indicate whether you agree or disagree with the employee and identify any reasons you would give in support of your decision. If you decide that reclassification is not warranted, identify another way of solving the problem within the personnel system.

1. Donna Diligent, Management Analyst, has an excellent work attitude, arriving early, leaving late, staying in during lunch hours and breaks. In addition, she has a pleasing, cooperative personality, and often volunteers for additional assignments and overtime. AGREE DISAGREE MAYBE

2. Claud E. Day, Metereological Technician, GS-11, has long been considered a very knowledgeable person in his field. Over recent years he has had co-workers in his unit, and outside it too, coming to him to solve problems and questions of an unusual or difficult nature. In addition, he seems to attract special projects and assignments because there is no-one else in the shop able to do them. There is little doubt he is a master journeyman. AGREE DISAGREE MAYBE

3. Michelle Marvel, Nuclear Engineering Draftsman, GS-11, says her job is in a critical skills category and there are no fully qualified people available at the pay rate at which the position is classified. AGREE DISAGREE MAYBE

4. Sam Spooner Jr, Nuclear Engineering Draftsman, GS-5, says he is performing the exact same duties as Michell Marvel is. AGREE DISAGREE MAYBE

5. E. Gar.Beaver, Administrative Assistant, grinds out prodigious amounts of work without any noticeable dropoff in quality. He has been doing this for the past 18 months and hints that this will soon stop unless he is reclassified. By the performance standards, he does, in fact, do more work than is expected. AGREE DISAGREE MAYBE

6. Chip Van Winkle, has 30 years on his present job, Youth Counselor, GS-11. Everyone thinks it would be a suitable gesture to reclassify his job before he retires early next year. AGREE DISAGREE MAYBE

7. Biff Barker, supervisor of 15 employees, is in the same grade as Mr. Smith, who supervises only three employees. AGREE DISAGREE MAYBE

8. I. N. Stein, Physicist, has peaked out at the journeyman level, GS-12. He is becoming very upset because he can't support his family on GS-12 pay. AGREE DISAGREE MAYBE

The following position description is a negative example--showing what not to do. Playing the part of the classifier, assign a title, pay plan, and grade to it, noting the reasons for your decision.

INTRODUCTION

This position is established to provide a directorship for directing, controlling and regulating the movement of interstate commerce, representing a cross section of the wealth of the American economy.

PRINCIPAL DUTIES AND RESPONSIBILITIES

On the basis of personal judgment, founded on past experience, conditioned by erudition and disciplined by mental intransigence, the incumbent integrates the variable factors in an evolving situation and, on the basis of simultaneous cogitation, formulates a binding decision relative to the priority of flow of interstate and intrastate commerce, both animate and inanimate. These decisions are irreversible and not subject to appellate review by higher authority, nor can they be reversed by the legal determination of any echelon of our judicial complex.

The decisions of the incumbent are important since they affect, with great finality, the movement of agricultural products, forest products, minerals, manufactured goods, machine tools, construction equipment, military personnel, defense materials, raw materials, end products, finished goods, semi-finished goods, small business, large business, public utilities and government agencies.

CONTROLS OVER THE POSITION

The incumbent operates without direct or even intermediate supervision, and with broad latitude for independent judgment and discretion, in the complete absence of published guidelines.

OTHER SIGNIFICANT QUALIFICATION REQUIREMENTS OF THE WORK

In the effective implementation of these responsibilities, the incumbent must exercise initiative, ingenuity, imagination, intelligence, industry and discerning versatility. The incumbent must be able to deal effectively with all types of personalities and all levels of education, from college president and industrial tycoon to truck driver. Above all, the incumbent must possess decisiveness and the ability to implement coordinated motivation on the part of others consistent with the decision the incumbent has indicated. An erroneous judgment, or a failure to properly appraise the nuances of an unfolding situation could create a complex obfuscation of personnel and equipment generating an untold loss of mental equilibrium on the parts of innumerable personnel of American industry who are responsible for the formulation of day-to-day policy, and guidance implementation of the conveyances of transportation, both intrastate and interstate.

TITLE: ______________________________

PAY PLAN: ______________________________

GRADE: ______________________________

REASONS FOR ABOVE DETERMINATION: ______________

DESCRIBING AND CLASSIFYING A POSITION

REVIEW

You need extra clerical help in your office and have finally obtained a "slot" for a full-time personnel clerk. The duties listed below outline the principal assignments as well as the knowledge and skill requirements. They narrow the grade level possibilities, but the final determination will be made from the amount and kind of guidance and supervision which you add to the position.

Write the part of the position description which will state the controls (supervision and guidelines) in the position. Then assign the grade level. The classification standards provided will help you decide on the controls needed and the appropriate grade level.

Duties:

- Answers (by phone and in writing) inquiries about employment from general public and applicants.
- As support to the staffing specialist, processes and orients all new employees.
- Keeps information on training and development plans of new and current employees.
- Prepares periodic reports on training program.
- Keeps time and attendance cards for employees.
- Keeps office personnel records up to date.
- Maintains records on suggestions made by employees.
- Responsible for independently processing the full range of transactions within the employee development program.
- Must have a good knowledge of precedent personnel actions relating to employee development and of less frequently used rules and regulations.

POSITION DESCRIPTION

Agency:

Location:

Office:

Title of position:

Class (give pay plan, series, grade):

Controls over work:

Within each of these two basic categories of assignment--clerical and technical assistance--there are, in turn, several types of assignments which may exist.

DESCRIPTION OF CLERICAL AND TECHNICAL ASSISTANCE ASSIGNMENTS

Clerical assignments consist of one or both of two types: (1) processing transactions: or (2) providing information.

> The first and most common type involves processing transactions essential to the operation of a personnel program. This processing may be concerned with procedural or substantive matters. Procedural processing involves an examination of the form of documentation supporting a proposed transaction (e.g., Have necessary steps been followed in routing, coding, and/or filing documents? Are necessary documents present? Do they appear to be complete and in proper sequence?) Substantive processing involves an examination of the content of documents supporting a proposed transaction (e.g., Is the content or subject matter of the document correct and do individual items within each document conform to applicable policies, regulations, etc.?).
>
> The second type of clerical assignment involves providing information, ordinarily of a fairly basic and general nature (in relation to the type of information a personnel specialist might provide). This concerns such matters as legal, procedural, or regulatory requirements applicable to specific transactions or case situations, or comparable basic information including the compilation of basic data into report form.

CONTROLS OVER WORK

This factor evaluates the effect of relative degrees of control over the work. This includes consideration of the degree of supervision received and the extent to which guidelines are available in conducting the work.

> SUPERVISION. -- This ranges from the close direction and review over the work of inexperienced workers to the relative degree of independence under which fully

experienced workers operate. One must consider the extent to which supervision or lack of supervision is inherent in the assignment and basic operating situation. For example, personnel clerks and assistants who give information, advice, or counsel to others are performing work which generally does not permit close review by a supervisor, thus requiring more use of judgment.

GUIDELINES. -- The availability of guidelines which control work performance also varies considerably. Guidelines are readily available for use by personnel clerks who verify and perform the procedural steps involved in a personnel transaction, as each step is described and the proper sequence of steps is provided by detailed instructions in handbooks or similar manuals. On the other hand, personnel clerks or assistants who interpret or explain personnel policies and regulations for others have no directly applicable guideline to follow. In such instances the guideline is the policy or regulation itself, and this serves simply as a point of departure as the explanation must be tailored to the needs and to the level of comprehension of each individual.

KNOWLEDGE AND SKILL REQUIREMENTS

Positions vary considerably in the extent and variety of knowledge required, and the degree of skill required in person-to-person contacts. Both of these features must be weighed to secure a proper overall evaluation of this factor.

KNOWLEDGE. -- Both the depth and breadth of knowledge required must be considered. This should include an assessment of the need for knowledge in one portion of a specialized field (e.g., examining) as opposed to the entire specialized field (e.g., staffing), or of installation or agency requirements and procedures versus Commission requirements and procedures. Along with this should be an assessment of the depth of knowledge required.

SKILL. -- For purposes of this discussion, the term person-to-person contacts refers only to contacts with people outside the immediate employing office of the worker (e.g., outside the staffing section for a clerk who processes personnel actions). This includes contacts such as those with employees, supervisors, management officials, individuals in other agencies, legislative officials, job applicants, students, and so on. Demands for different degrees of skill must be considered for each position as, for example, it is obvious that less skill is required in advising someone on how to fill out a job application than in advising a management official on a procedural requirement. To some extent, the skill required is a dependent upon the nature, purpose, and frequency of contacts, which must be considered in evaluating the skill requirement.

PERSONNEL CLERK GS-3

GS-203-3 GS-203-3

NATURE AND VARIETY OF ASSIGNMENTS

GS-3 level assignments are primarily concerned with the procedural aspects of personnel transactions. Assignments are normally related to one of the major areas of personnel management specialization (e.g., staffing, classification, etc.) and consist of a variety of clerical transactions within that area. Technical complexity consists of a number of procedural steps which must be observed.

CONTROLS OVER WORK

Work involving procedural matters is routinely subject to a general administrative and technical review, which generally includes at least a daily spot check of completed work for adherence to required form and procedure. Any assignments dealing with substantive clerical matters receive a close technical review for adherence to applicable regulations and policies.

Explicit guidelines are available for procedural work, such as agency or installation manuals or other written instructions. These provide illustrations of established procedures, depict a range of commonly occurring transactions, and explain the use of various forms, records, and reports. Fairly definite written guides in the form of regulations or policy statements are available for any substantive work. In addition, either a higher grade clerk or the supervisor is readily available to provide guidance whenever needed.

KNOWLEDGE AND SKILL REQUIREMENTS

Knowledge is required of a variety of necessary procedures common to transactions in one of the major areas of personnel specialization, and of applicable agency and installation guidelines for such transactions. Skill in person-to-person contacts does not go beyond the ordinary demands of office courtesy involved in securing or supplying specific items of information contained in commonly used personnel forms, records, and reports.

NATURE AND VARIETY OF ASSIGNMENTS

Typical GS-4 assignment are primarily concerned with substantive clerical aspects of processing personnel transactions. As at the GS-3 level, assignments are normally related to one of the major areas of personnel management specialization and consist of a variety of transactions within that area. Technical complexity is greater than at the GS-3 level, as substantive processing involves more alternative choices for action.

CONTROLS OVER WORK

Substantive work is subject to a general administrative and technical review which generally include at least periodic spot checks on a daily basis to insure observance of appropriate rules, laws, regulations, and policies. Guidelines consist of portions of Government-wide publications such as the Federal Personnel Manual and certain of its supplements, in addition to agency and local installation supplemental instructions. These guidelines generally provide a fairly specific basis for taking action.

KNOWLEDGE AND SKILL REQUIREMENTS

Knowledge is required of Government-wide rules, regulations, laws, and policies governing the type of transactions being dealt with, as well as supplemental agency and installation instructions. Person-to-person contacts are frequent and require skill in obtaining compliance with regulations by others, including higher grade specialists and management officials. This often requires considerable tact and diplomacy in persuading someone to take initial action that is necessary or to change an action which was improperly taken. Patience and courtesy must be used in explaining regulatory requirements to others, including members of the public who have little or no knowledge of the Federal personnel system.

PERSONNEL CLERK GS-5

GS-203-5 GS-203-5

NATURE AND VARIETY OF ASSIGNMENTS

CLERICAL ASSIGNMENTS

As at the GS-4 level, assignments are primarily concerned with substantive clerical aspects of processing personnel transactions. However, GS-5 personnel clerks are responsible for independently processing the full range of transactions that include a significant proportion of those of a novel or unusually complicated nature, within one of the major areas of personnel management specialization. This involves a wide variety of transactions which present many possible alternative courses of action. The GS-5 employee is regarded as an expert on the clerical transactions in the personnel area concerned.

TECHNICAL ASSISTANCE ASSIGNMENTS

In addition to the clerical assignment, there is frequently a secondary assignment to provide limited technical assistance to one or more personnel specialists or to a line manager or supervisor. Such assignments are related to a broader area of work within one of the major areas of personnel management specialization (e.g., staffing, classification) than are clerical assignments.

CONTROLS OVER WORK

Technical review of clerical assignments consists of occasional spot checks. Work is evaluated primarily on the ability to perform work independently and complete it in timely fashion.

Technical assistance work of a person-to-person contact nature is subject to about the same degree of review, being evaluated essentially on ability to satisfy the needs of the situation without seeking assistance from others. Any other type of technical assistance work is normally subject to close review by a personnel specialist to insure adherence to applicable policies, procedures, and regulations.

Guidelines are of the same type applicable to the GS-4 level, consisting of Government-wide publications as well as agency and installation supplemental instructions. Precedent cases form a particularly important part of the guidelines at GS-5, as more work items are encountered where published guidelines do not clearly apply and precedent cases provide the best guidance.

KNOWLEDGE AND SKILL REQUIREMENTS

A thorough and comprehensive knowledge is required of the guidelines which provide the basis for clerical assignments in order to complete independently the clerical processing of novel and unusual case actions. This, in addition to a good knowledge and familiarity with precedent cases or situations, is necessary in order to accomplish independent completion of nonroutine, difficult work items. Judgment is required in selecting appropriate guidelines as a basis for action from among the mass of published and precedent material available. This primary knowledge requirement is related to the specific segment of personnel work covered by clerical assignments (e.g., processing personnel actions).

There is also a requirement for a general knowledge of the work of an organizational unit corresponding to one of the major personnel management specializations (e.g., classification, staffing, etc.) This relates to technical assistance assignments, where an understanding of the total work of the unit is needed rather than primarily an understanding of the clerical portion of the total work.

The same kinds of skill in person-to-person contacts are required as for GS-4 positions. However, at GS-5 an extra degree of care must be taken as the personnel clerk is regarded as an expert on interpretation of rules, regulations, and precedent cases relating to transaction processing. Thus, his advice or opinion may serve as the basis for action by the individual concerned. Responses are not always obvious, requiring interpretation of material which must be clearly presented so that it will be understandable to those who are less knowledgeable. Contacts are frequent in which his expert advice is sought to advise on ways of completing a complicated action. to suggest alternative procedures, to explain regulatory requirements and the effect of precedent cases, and to secure compliance with regulatory and policy requirements. Person-to-person contacts constitute the major part of personnel assistance assignments. These contacts are for the purpose of explaining procedures, regulations and policies which apply to the work of the whole unit rather than primarily to the clerical processing of transactions.

PERSONNEL CLERK GS-6
PERSONNEL ASSISTANT GS-6

NATURE AND VARIETY OF ASSIGNMENTS

Positions at this level may consist of either clerical assignments or technical assistance assignments. These assignments are described below as though they existed separately in order to emphasize the characteristics of the grade in each area. In practice, however, either type of assignment frequently is mixed with work of the other type, which may be of the same or a different grade level. The title, of course, will depend on which type of assignment provides the basis for the grade.

CLERICAL ASSIGNMENTS

This kind of assignment consists essentially of the same kind of independent substantive processing of the full range of transactions as described at the GS-5 level. The difference from grade GS-5, however is that at the GS-6 level the work involves a broader range and wider variety of personnel transactions presenting numerous alternative courses of action, such as would exist in processing a full range of transactions in each of three or more of the major areas of personnel management specialization, rather than in just one or two areas.

TECHNICAL ASSISTANCE ASSIGNMENTS

GS-6 technical assistance assignments consist of such work as recommending classification of specific positions or placement of particular job applicants. This goes beyond the technical assistance work typical of the GS-5 level. It involves, as a typical and regular part of the position, actual performance of the kind of work done by personnel specialists. (See page 2 for distinction between technical assistance and personnel specialist work.) Technical assistance work involves frequent person-to-person contacts for such purposes as auditing jobs and classifying positions, placing job applicants, counseling employees on training opportunities, or advising supervisors on how to solve a disciplinary problem. Normally, such assignments are confined to one of the four major areas of specialization.

Illustrative of the scope, technical complexity, and nature of person-to-person contacts typical of a GS-6 assignment, and the controlled conditions of such an assignment, is an assistant who performs assignments in classifying or evaluating several different kinds of clerical or wage board type positions. The work consists of gathering and reporting information and recommending a classification for several types of clerical or similar occupations where: (1) organizational environment is stable; (2) positions themselves tend to be stable; (3) numbers of positions have essentially the same characteristics; and (4) applicable standards and guides are clearly defined and require relatively few judgmental decisions in application. This same type of work may also be performed for a few of certain wage board occupations involving positions such as helper, laborer, or trade or craft journeyman where similar conditions prevail concerning stability of organization and positions, and ease of application of standards. Such work includes explaining to both employees and their supervisors the basis for making a classification recommendation, and the basis for the final decision. However the final decision is made by a position classification specialist.

CONTROLS OVER WORK

The degree of supervision and review is virtually the same as described the the GS-5 level--no technical review of clerical assignments, but close review upon completion of technical assignments other than those of a person-to-person contact nature. However, technical assistance work is expected to be performed independently prior to completion, with infrequent need to seek supervisory assistance during the course of the work. Guidelines also are of the same type mentioned at GS-5. Precedent cases are important for guidance in performing technical assistance work, as well as in clerical processing of difficult transactions where published guidelines do not clearly apply.

KNOWLEDGE AND SKILL REQUIREMENTS

As at the GS-5 level, a thorough and comprehensive degree of knowledge is required of the guidelines (e.g., sections of the Federal Personnel Manual, FPM supplements, Comptroller General decisions, agency and installation supplementary manuals and instructions, precedent cases, policy statements) that provide the basis for clerical assignments. However, for clerical assignments at the GS-6 level, this knowledge typically extends over at least three of the major areas of personnel management specialization, rather than just one area. Consequently, both the volume and coverage of guidelines are considerably greater for GS-6 clerical work as compared with the next lower grade.

On the other hand, for technical assistance work, in addition to the knowledge requirements at the next lower grade, a good knowledge is required of the guidelines applicable to assignments characteristic of personnel specialist work (e.g., classification and qualification standards, rating schedules, policy statements concerning methods of resolving disciplinary problems, etc.) in order to perform technical assistance work in selected situations. Technical assistance work also requires a good knowledge about the needs of the organization served and the organizational environment concerning specific personnel situations.

For either type of assignment, sound judgment is imperative in selecting appropriate guidelines as a basis for action from among the variety of pertinent published and precedent case material. The personnel clerk must be highly skilled in dealing with a variety of people under different circumstances, including pressure situations where accurate information must be provided rapidly. In contacts related to clerical work, he is regarded as an expert source of information and advice.

RANKING MAJOR TASKS

Employee Development Series, GS-235

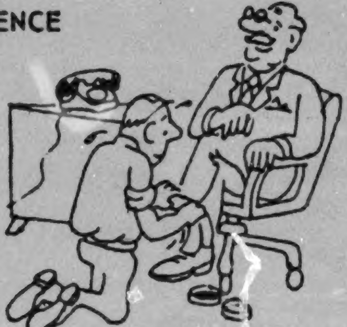
Instructions

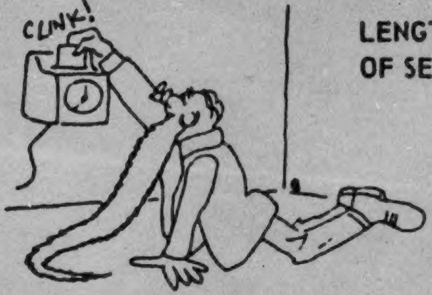
Working independently, rank tasks by level of difficulty, responsibility, and/or complexity. The most difficult and higher task is ranked first, the next most difficult second, and so on. The least difficult task is ranked sixth. These tasks, ranging in grade from GS-5 to GS-13, were selected from examples of typical duties performed as listed in the classification standard for the GS-235 series. Suggest ranking most difficult and least difficult first.

RANK ORDER	TASK
________	Conducts designated portions of surveys of training needs in an operating employee development program. Analyzes the information obtained and sumbits recommendations to the supervisor or to an employee development specialist of a higher grade.
________	Works with top management officials, and with management officials immediately below the top management level to provide and negotiate educational and training opportunities which will enable professional employees to improve their present professional preparation and broaden their qualifications for higher-level positions.
________	Monitors on-the-job training of employees, e.g., by reviewing training reports submitted by supervisors of employees receiving OJT, and by personal contacts with supervisors and individual employees.
________	Assignments are selected to provide formal classroom instructions or on-the-job training in employee development principles, concepts, work processes, regulations, and reference materials.
________	Involves independent responsibility for complete projects which comment on major proposed legislation, policies, procedures, and directives affecting the employee development program of the department or independent agency.
________	Develop guidelines, instructional methods, course materials, and training aids for use in operating employee development programs.

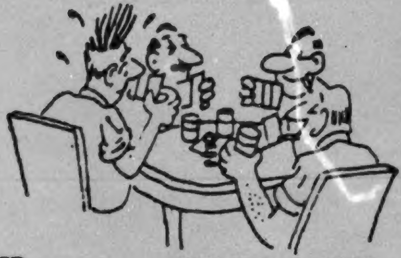
NOTE. After completing this exercise, and if time permits, discuss your responses when your entire group has finished the exercise.

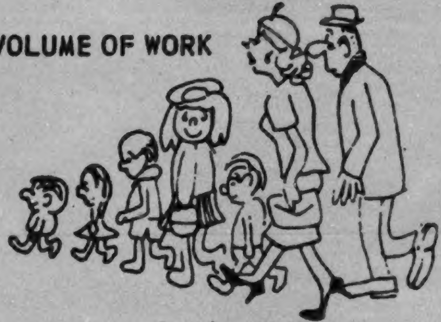
THESE THINGS *DON'T* COUNT IN CLASSIFYING YOUR POSITION

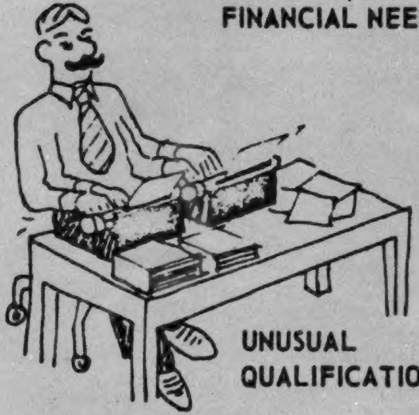

UNUSUAL DILIGENCE OR OVERTIME

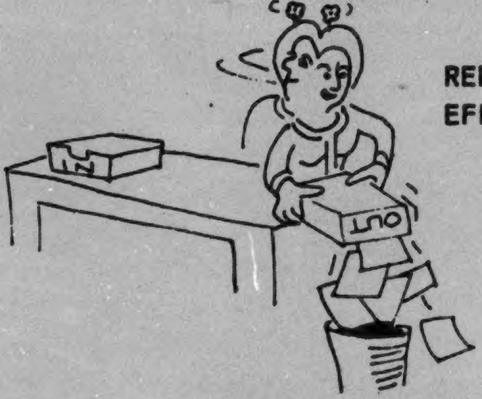


LENGTH OF SERVICE

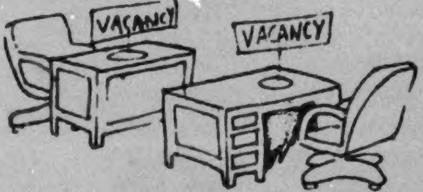

FINANCIAL NEED


VOLUME OF WORK

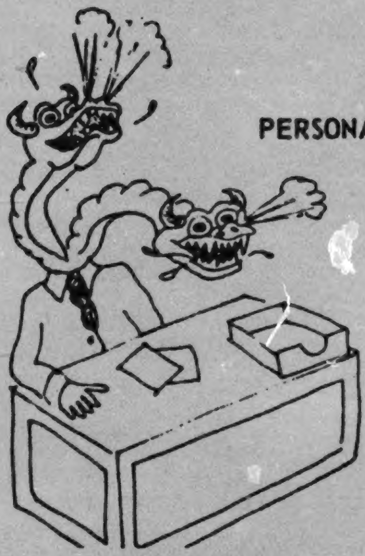

UNUSUAL QUALIFICATIONS



RELATIVE EFFICIENCY



SCARCITY OF NEW EMPLOYEES


PERSONALITY

These do:

1. Nature and variety of work.
2. Difficulty of the work.
3. Authority and responsibility exercised.
4. Extent of supervisory controls over the work.
5. Qualification requirements of the work. 39

CLASSIFICATION STANDARD CONTENTS: AN EXAMPLE

Employee Development Series, GS-235

Selected Excerpts

INTRODUCTORY PARAGRAPH

This series includes all classes of positions the duties of which are to plan, supervise, administer, provide, review, or evaluate a program of guidance, consultation, and staff assistance to management in the orientation, training, and planned development of employees to satisfy immediate and/or long-range needs of the agency.

EXCLUSIONS

Positions the incumbents of which are engaged in instructing; developing course materials, training aids, or devices; preparing standardized examinations; or preparing other related materials in a Government program of education or training; or positions directly responsible for supervising, administering, evaluating, or controlling the work of persons so engaged. Such positions are classified in the Education and Training Series, GS-1710. . . . the performance of such duties do not remove a position from the GS-235 series when performed in combination with the functions which characterize a program of staff assistance to management.

COVERAGE

The orientation, training, and development of employees in order to increase their usefulness in the agency are the inherent responsibilities of the supervisor. For various reasons it is necessary to establish staff training organizations to advise and assist the supervisor in this aspect of his total personnel management responsibility. The imparting of knowledge or the teaching of a skill requires, in varying degrees--depending on the complexity of the subject or skill--the services of a specialist in training or education. Supervisors who are very competent in their technical fields may lack in the organization of materials, the communication of ideas, or the motivation of the employee for self-improvement.

PRINCIPAL FUNCTIONS (10) Three examples provided.

(1) Explaining the objectives of the employee development program to management and promoting acceptance and active cooperation in the orientation, training, and development of employees to further the accomploshment of management goals.

(2) Assisting supervisors and management officials in identifying their training and employee development needs in terms of agency goals. This included analysis of individual positions, operations, production reports, accident reports, attendance records, and employee grievances and attitudes to identify specific training and orientation needs.

(3) Helping supervisors in evaluating training given to their employees, and suggesting improvements in organization, methods, facilities, equipment, coverage, and scheduling utilized in employee training.

TITLING INSTRUCTIONS

Provides a brief statement of the appropriate title. In this series, Employee Development Specialist. If supervisory responsibilities are included, the prefix "Supervisory" is added to the basic title.

SUPERVISORY POSITIONS

The standard points out it does not give criteria for the classification of supervisory positions. Such positions are classified with the use of the "Supervisory Evaluation Guide."

DEFINITIONS

This section gives short definitions of key terms used in the standard. Example: "Training -- As used in this series, this term means the systematic development of a specific skill or the imparting of a given body of knowledge especially related to the employee's assignment. It may involve on-the-job training, formal classroom training, conferences, demonstrations, rotating job assignments, or any combination of these or other techniques."

EVALUATING PROGRAM RESPONSIBILITY

This explains the criteria used in determining if the incumbent of the position has the type of program responsibility normally to be found in this occupation. It also details examples of what is not program responsibility. An example of a partial exercise of program responsibility: ". . . an employee development specialist who is responsible for a program wherein various training sessions are conducted automatically and who has displayed little or no initiative in assessing the program's effectiveness or raison d'etre is not carrying out the full scope of his program responsibility."

SIGNIFICANCE OF ORGANIZATIONAL REFERENCES

Describes how the impact of organizational level might influence position evaluation. It stresses these references are significant only as clues to "the control received from higher (or exercised over) levels in the organization."

TYPICAL WORK SITUATIONS

Points out that illustrative work examples described at various grade levels are not meant to be all inclusive.

CLASSIFICATION FACTORS USED

Nature and Purpose of Work
Supervision Received.
Guidelines Available.
Nature and Scope of Recommendations and Decisions.
Personal Work Contacts.
Qualifications Statement.

2 SYSTEMS SIDE BY SIDE FOR 5 YEARS

SAME BASIC PRINCIPLES

--Equal pay for substantially equal work

--Difference in pay is proportional to difference in difficulty and responsibility of work

--The position, not the person, is evaluated.

POSITION CLASSIFICATION SYSTEM	FACTOR EVALUATION APPROACH
--8 factors	--9 factors
--not all factors apply to all jobs at all levels (ex., originality in file clerk position)	--all factors apply to all jobs at all levels.
--standards are written in long narrative form	--standards are written in factor form
--many forms of standards to choose from, some with points, some without	--all standards are written in uniform format, with points
--inconsistent grading	--uniform grading
--inconsistent position descriptions	--uniform position descriptions written in factor form
--system is difficult to understand	--system easy to understand factor by factor
--very subjective-grade is up to the classifier	--more objective-grade is based on specific guidelines with specific points assigned
--high degree of inaccuracy because each agency has its own subjective pd format	--high degree of accuracy because agency must use the same format found in the standards

SAME BASIC LEGISLATION

Both systems are based on the Classification Act of 1949, as amended.

AUDITS OF POSITIONS

What are they?

Audit -- According to Webster's Collegiate Dictionary:

1. A formal or an official examination and verification of an account book.
2. A methodical (systematic) examination and review.

Position -- Consists of work assignments of an employee.

Position Audit -- A review of the work assignments of an employee.

Why are they conducted?

A principal purpose of auditing positions is to isolate factual information. (Fact finding).

(Fact finding is one aspect of the classification process -- others are analyzing the facts and evaluating the facts.)

Audits of existing positions are made to check on the accurac of classification determinations and to determine the maintenance needs of classification programs.

Audits of projected (presently non-existent) positions are made to verify collected information and to collect additional information.

Who is involved?

The classifier is collecting facts.

The incumbent and/or the work supervisor provide the facts.

How are they conducted?

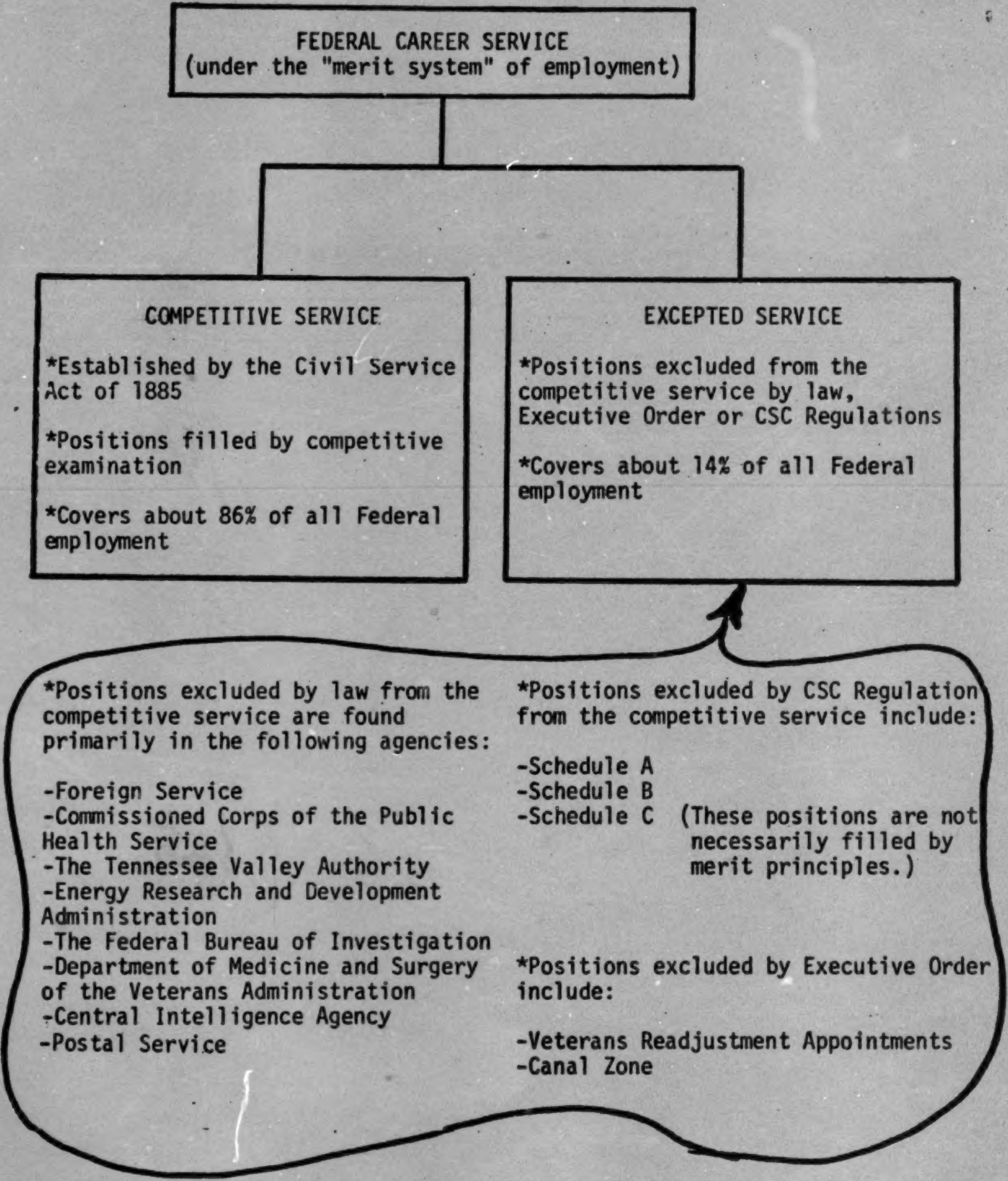
This depends on the ability, knowledge, and skill of the classifier.

Audits can be conducted in a fumbling, befuddling, unproductive, traumatic manner,

or

Audits can be controlled, systematic, purposeful, and productive interviews through which facts can be obtained. As a major side benefit, they offer opportunity for promoting the understanding and acceptance of position classification.

This chart shows the relationship between major parts of the Federal career (merit) service.



FEDERAL CAREER SERVICE
(under the "merit system" of employment)

COMPETITIVE SERVICE

*Established by the Civil Service Act of 1885

*Positions filled by competitive examination

*Covers about 86% of all Federal employment

EXCEPTED SERVICE

*Positions excluded from the competitive service by law, Executive Order or CSC Regulations

*Covers about 14% of all Federal employment

*Positions excluded by law from the competitive service are found primarily in the following agencies:

- -Foreign Service
- -Commissioned Corps of the Public Health Service
- -The Tennessee Valley Authority
- -Energy Research and Development Administration
- -The Federal Bureau of Investigation
- -Department of Medicine and Surgery of the Veterans Administration
- -Central Intelligence Agency
- -Postal Service

*Positions excluded by CSC Regulation from the competitive service include:

- -Schedule A
- -Schedule B
- -Schedule C (These positions are not necessarily filled by merit principles.)

*Positions excluded by Executive Order include:

- -Veterans Readjustment Appointments
- -Canal Zone

STAFFING AND PLACEMENT

A vacancy may be filled from a variety of sources. A Federal agency is not obligated to fill the vacancy in any one way; they are obligated to select "the best qualified individual who is available".

Sources of eligibles would be:

CSC Registers

Promotion Certificates (including Reemployment Priority Eligibles)

Reassignments

Transfers

Demotions

Reinstatement Eligibles

Details

Temporary Promotions

Excepted Appointment

STATUS OF PERSONS AND POSITIONS

APPOINTMENTS TO COMPETITIVE POSITIONS

STATUS OF PERSONS AND POSITIONS

INTRODUCTION

The status of positions and the status of persons are two of the principal concepts underlying the filling of Federal positions, and the rights, privileges, and obligations of employees occupying them.

The status of positions is the key to the how and why positions are filled. First, what determines that a position is a Federal position? Usually a position is a Federal position when these primary conditions exist:

- The incumbent of the position to be filled is to be appointed by a Federal employee;
- The function to be performed is a Federal function; and
- The incumbent is to be under the direction and supervision of a Federal employee.

Generally, but not essentially, the funds are Federally appropriated.

COMPETITIVE OR EXCEPTED

Deciding whether a Federal position is competitive or excepted is important because this decision determines who controls the filling of the position and how it will be filled.

- For filling competitive positions the CSC prescribes regulations under statutes and under rules issued by the President.
- For filling excepted positions, the head of the agency prescribes the requirements for appointment, subject to applicable laws, Executive orders, and civil service regulations.

The general rule for determining whether a position is competitive or excepted is:

- All civilian positions in the Executive branch of the Federal Government are in the competitive service unless excepted by statute, the President, or the Civil Service Commission.
- All positions in the legislative and judicial branches and in the District of Columbia Government are outside the competitive service unless specifically included by statute.

It is important to stress that the general rule applies to the original establishment of positions in the three branches of the Federal Government and in the District of Columbia Government. There are situations where the general rule does not apply in determining the status of positions; that is when Congress created new agencies or departments through reorganizations. However, since these are specific situations, we will not discuss them here. For those of you who are curious, Chapter 212 of the Federal Personnel Manual contains some of these specifics.

FILLING POSITIONS

If a position is under the Civil Service Act it is in the competitive service and must be filled under Civil Service regulations applicable to the competitive service unless the CSC has excepted it under Schedule A, B, or C. In this case it is filled under requirements prescribed by the appropriate agency head except that appointments to Schedule B positions are subject to such noncompetitive examination as the Commission may prescribe.

-- Competitive positions, in general, must be filled by competitive examination or by individuals who have competitive status or who have served under appointments leading to competitive status after completion of a probationary period.

-- Competitive Status

  o Definition -- "An individual's basic eligibility for noncompetitive assignment to a position in the competitive service without open competitive examination for the position."

  o Normally, competitive status is acquired by appointment through open competitive examination and completion of probationary period under career or career-conditional appointment.

  o However, competitive status may also be acquired through noncompetitive means by statute, executive order, or by Civil Service rules and regulations. For example:

    -o A statute provides that employees who served under certain circumstances at certain times may acquire competitive status when their agencies recommend it and the Commission approves. John Jones meets all these requirements and gets competitive status.

    -o The President issues an Executive order along the lines of the statute described above. Eligible employees may acquire competitive status.

-o The Commission revokes a Schedule A, B, or C exception. Eligible employees may acquire competitive status on a recommendation of the agency with CSC approval.

CHANGES IN STATUS OF POSITIONS

Positions which normally would be competitive because they are in the executive branch may be changed to excepted positions by:

-- Congress -- by statute.

-- The President -- by Executive order.

-- The Commission -- by Schedule A, B, and C.

Neither the President nor the Commission may except positions specifically put in the competitive service by statute. Only another statute can take them out.

EMPLOYEE STATUS -- EFFECT ON POSITION

Neither the President nor the Commission can deprive an employee of his competitive status simply by excepting the position he holds. In effect, a job the President or the CSC excepts remains in the competitive service while the employee with status continues to hold it.

POSITION STATUS -- EFFECT ON EMPLOYEE

When an excepted position is moved to the competitive service, the occupation of the position automatically comes into the competitive service if he has competitive status and is under a non-temporary appointment, and is eligible for reinstatement.

APPOINTMENTS TO COMPETITIVE POSITIONS

This section deals with how an employee is brought into a competitive position and how he may be moved to other positions.

MAJOR DETERMINATIONS

Establish the nature of the work to determine the most appropriate type of appointment:

-- continuing work -- career or career-conditional appointment.

- temporary work of a year or less -- temporary limited appointment.

-- project-type work longer than 1 year but less than 4 -- term appointment (when specifically authorized by CSC).

Decide whether to fill the job from inside or from outside the agency and whether by competitive or noncompetitive action.

TYPES OF COMPETITIVE APPOINTMENTS

Original appointments or reappointments from the register are made competitively -- that is, by selection from among the top three eligibles on a register established as the result of open competitive examination. In the absence of a register or of sufficient eligibles on a register, certain priorities must be observed in making original appointment from outside the register.

1. Career Conditional Appointments

-- Career-conditional appointments are made when an eligible is selected from a register for continuing appointment to a competitive position. Such appointments confer specific privileges:

- o Reinstatement eligibility, with certain limitations.
- o Eligibility for noncompetitive movement to any position for which the employee qualifies. ("Qualifies" includes meeting: (a) the "time-in-grade" restrictions of the Whitten Amendment on promotions, and (b) the Commission's requirement that an employee may not be promoted, transferred, or reinstated to a higher grade or a different line of work, or reassigned to a different line of work, within 3 months after his latest competitive appointment).
- o Competitive status with attendant rights in adverse actions upon completion of the 1 year probationary period.
- o Career tenure with improved retention rights after completion of 3 years of substantially continuous creditable service.

2. Career Appointments

-- Career appointments are made when you select a present or former Federal employee who has completed the 3-year service requirement for career tenure. Career appointments are also made to positions in the postal field service, or to positions required by law to be filled on a permanent basis (e.g., Hearing Examiner).

- o Keep in mind that under the Whitten Amendment an initial career appointment may not be made to an obligated position.

-- Positions for part-time or intermittent service may be filled by career-conditional or career appointment only when the appointing officer satisfied the Commission that the position is continuing and that career-conditional (or career) appointment is warranted.

3. Temporary Limited Appointments

Most temporary limited appointments are made to fill positions excepted to last less than a year. However, such appointments are used also to fill continuing positions when filled by persons age 70 or over. Additionally, under special circumstances, temporary appointments may be made to fill continuing positions for a limited time. Temporary limited appointments are normally made from registers from among eligibles. The Commission, however, may authorize temporary limited appointments outside the register to fill positions that will last less than one year when there are not enough eligibles on the register. Several special types of temporary appointments are currently being used:

-- A special type of temporary appointment is the 700 hour appointment. Authority has been delegated to agencies (except the Postal Field Service) to make temporary limited appointment without regard to registers under certain conditions:

- o Total employment must not exceed 700 hours during a consecutive 12-month period.
- o The appointment must be at GS-7 or below, or at a rate not more than the entrance rate of GS-7 for positions outside the Classification Act. This restriction does not apply to wage board positions.
- o The appointees must meet the qualifications standards for the position, including medical standards.
- o Appointments under this authority may not be made to extend some other authority.

-- Authority has also been delegated to agencies to make noncompetitive temporary limited appointments for certain former employees, such as:

- o Individuals eligible for reinstatement.
- o Former Canal Zone employees.
- o Present or former indefinite employees.
- o Former temporary employees under conditions outlined in FPM Chapter 316, 4-8.

-- Another type of temporary appointment is that authorized to meet special needs. Under this authority college faculty members may be appointed for not more than one year, but this authority may not be used consecutively with a Schedule A appointment for the same purpose.

-- In addition, a one-month appointment may be made when there is a legitimate need which cannot be met by appointment under another authority. For special requirements, see FPM Chapter 316, 1-9.

4. TAPER Appointments

TAPER Appointments -- (temporary appointment pending establishment of a register):

-- are used when there are insufficient eligibles on the register appropriate for filling a vacancy in a continuing position, yet the public interest requires that the vacancy be filled before eligibles can be certified.

-- Such appointments must be specifically authorized by the appropriate CSC office or board of USCS examiners, either as a blanket authorization for all agencies or as a specific authority issued for an individual case to one agency.

5. Term Appointments

Are used to fill positions that will last more than 1 year but not more than 4 years, and that are clearly of a project nature.

May be made only under prior agreement with the CSC.

-- Usually from registers under Section 316.302(a) of the CSC regulations.

-- From outside registers under special authority from the certifying officer in the absence of eligibles.

-- By noncompetitive appointment of former Federal employees eligible for reinstatement.

APPLICANT SUPPLY SYSTEM

-- Maintenance of an applicant supply system is required of each agency that recruits and makes appointments to competitive positions outside registers. Adherence to Civil Service Commission regulations and veterans preference requirements is mandatory.

- o Applications must be accepted on a systematic basis which insures fair treatment for all candidates and complies with the Veterans' Preference Act and CSC instructions.

- All applications must be evaluated promptly in accordance with the Commission's standards.

- Qualified and available applicants must be considered for appointment in priority order, as follows:

    - Qualified applicants entitled to 10-point preference who have a compensable service-connected disability of 10 percent (not applicable for professional and scientific positions in GS-9 and above);

    - All other qualified applicants entitled either to 10-point preference or 5-point preference (includes all qualified preference eligibles for scientific and professional positions GS-9 and up).

    - Non-preference applicants.

SPECIAL CONSIDERATIONS RE TEMPORARY AND TERM APPOINTMENTS:

- Term appointees may be promoted, demoted, or reassigned to other positions on the project when the agency is authorized to fill by term appointment. TAPER and temporary limited appointments do not confer eligibility for this noncompetitive movement.

- Employees under term and TAPER appointments are eligible for within-grade increases whereas temporary limited appointees are not.

- Temporary limited, TAPER, and term appointments do not confer competitive status.

- Employees under term appointments serve a one-year trial period while those under TAPER or temporary limited appointments do not.

- Employees under term appointments are covered by FPM Chapter 752 in adverse actions while serving trial periods and after they complete them. TAPER and temporary limited employees have no protection.

PROBATIONARY PERIOD

In the final part of the examination process because it consists of actual testing on the job where the employee's conduct and performance are observed.

- During this probationary period, he may be separated without formality when circumstances warrant.

-- Employees appointed competitively from registers serve one-year probationary periods regardless of whether they completed probation in a previous employment.

-- In general, noncompetitive actions during the probationary period do not require the employees to begin a new probationary period.

-- For reinstatements, however, the employee must begin a new probationary period unless he either completed one in his previous service or served with competitive status in a position which required no probationary period. FPM Chapter 315, Subchapter 8-2-b(2) provides for an exception for an employee reinstated from the reemployment priority list.

-- There are also some career or career-conditional appointments under special authorities which may or may not require probationary period. (See FPM Chapter 315, Subchapter 8-2-c.)

-- Each probationer must be evaluated before completion of probation and, if found unsatisfactory, must be separated.

-- Appendix A to FPM Chapter 315 explains how to count time towards completion of probation.

CONDITIONS ON EMPLOYMENT

When an appointment is "subject to investigation", a noncompetitive movement, such as reassignment, promotion, or transfer, does not eliminate the need to complete the investigation.

PROMOTION

After appointment, this is the personnel action probably of most interest to employees, and the one which often-times proves to be most controversial. It basically differs from other noncompetitive actions agencies are authorized to take because selection must be from among the best qualified.

Definition -- the change of an employee to a higher grade position when both the old and the new positions are under the Classification Act of 1949, or under the same type graded pay schedule, or to a position with a higher rate of pay when both the new and the old positions are under the same ungraded pay schedule, or they are in different pay schedules.

Eligibility for Promotion -- Career and career-conditional employees are unconditionally eligible for promotion. Overseas limited, indefinite, status quo, and term employees are eligible under certain conditions. Temporary limited and TAPER employees are not eligible for promotion.

Effects of promotion on tenure -- Normally, tenure is not changed by promotion. A status quo employee, however, acquires indefinite tenure when he is promoted and remains indefinite until returned to his status quo position. The tenure of a career employee is reduced from retention group I to retention group II when he is promoted to an obligated position.

Special conditions applying to promotions which do not affect other noncompetitive actions:

-- First, the Commission delegates to agencies authority to promote to competitive positions subject to the agencies' adoption and administration of a program designed to insure a systematic means of selection for promotion through merit.

-- Second, promotion to a position under the Classification Act is subject to the time-in-grade restrictions of the Whitten Amendment, in both the competitive and the excepted service.

OTHER NONCOMPETITIVE ACTIONS

Selection for other noncompetitive actions -- reassignments, transfer, or reinstatement, is made also on the basis of merit and fitness, but employees need meet only the minimum competitive standards to qualify for these actions.

Reinstatement

-- Definition -- the noncompetitive reemployment as a career or career-conditional employee of a former employee in the competitive service who had competitive status or who was serving probation when separated;

-- The time limit on eligibility for reinstatement runs only three years after separation;

  o The time limit begins with the date of separation from the last position the employee held under an initial career appointment, career-conditional appointment, reinstatement, indefinite appointment in lieu of reinstatement, or an appointment under which he acquired competitive status;

  o Certain intervening service may extend the time limit; that is, it may be subtracted from the period between date of separation and the date of the proposed reinstatement in computing the three years. (See FPM Chapter 315-Subchapter 4).

-- The time limit, however, does not apply to:

  o Preference eligibles,

  o Employees who completed the service requirement for career tenure,

- o Employees whose eligibility for reinstatement was established under P.L. 85-847.

-- Agencies have authority to reinstate an individual who is eligible for reinstatement. Prior approval of CSC is required for reinstatement to positions at GS-16, 17, and 18, and for reinstatement of former Federal employees whose previous separations were under adverse conditions. (See FPM Chapter 315, Subchapter 4 for information on these conditions and exceptions thereto.);

-- On reinstatement, the employee becomes a career-conditional employee unless he meets the service requirement for career tenure or the requirement does not apply, in which case he becomes a career employee.

Transfer

-- Definition -- the noncompetitive employment of a career or career-conditional employee by movement from one agency to another (with or without promotion) without a break in service of a workday.

-- An employee may not be transferred after he is separated from the service for one workday in his basic workweek before transfer. He must be on duty or on leave, paid or unpaid, or furlough, other than military furlough. When an employee's function is transferred to a different agency while he is absent on military duty, he is transferred with it.

-- Agencies have authority to appoint by transfer career or career-conditional employees of other agencies;

-- Appointing officers should arrange with the losing agency for a mutually agreeable effective date and should notify the losing agency of that date, so the employee will not be separated before the transfer is effective.

-- Effect of transfer on tenure:

- o A career-conditional employee receives a career appointment when he transfers to a position that law required to be filled on a permanent basis, or to a position in the postal field service.

- o An employee who transfers from a position that law requires to be filled on a permanent basis, or from a position in the postal field service to a position under the career-conditional system becomes a career-conditional employee unless he meets the service requirements for career tenure.

-- No transfer may be made on a permanent basis to an obligated position. Otherwise, tenure doesn't change on transfer.

Reassignment -- the change of an employee from one position to another in the same agency without promotion or demotion.

TEMPORARY APPOINTMENTS
(Chapter 316)

Some Usual Uses

TAPER Appointments (Temporary employment pending establishment of a register.)

-- Authority given by CSC when there is no appropriate register

-- Serve until sufficient eligibles are available to make a selection from CSC register

-- Converted to career within 90 days after completing three years service if still working under this appointment and eligible for conversion

Term Appointments

-- Authority given by CSC

-- Appointments last for more than one year but may not exceed four years

-- Usually selected from CSC registers

Temporary Limited Employment

-- For a specific period not to exceed one year

-- May be made from register

-- Or, may be made outside register

EXAMPLES:

- 700 hour appointments

  a. Must not exceed 700 hours during a consecutive twelve-month period.
  b. Appointment must be at GS-7 level or below
  c. Appointee must meet X-118 Qualification Standard for the position (including written test, if any).
  d. Appointments are not to extend some other authority (except 30-day special needs appointments in some cases).

Some Other Uses (Non-Competitive)

Reinstatement Eligibles

Certain Peace Corps and VISTA Volunteers

Certain Vietnam Era Vets

30-Day Special Needs Appointments

TEMPORARY PROMOTIONS

Reference: FPM Chapter 335, Subchapter 4

Temporary promotions are appropriate for:

- extended absence of incumbent of a position
- filling a vacant position until a permanent appointment can be made
- handling increased workloads for a limited period
- handling special projects for a limited time.

Temporary promotions are NOT appropriate for:

- Training an employee for promotion
- Evaluating an employee in a higher grade position

Competition is required if the temporary promotion, including extensions, will exceed 120 days.

Time Limits

Initial - not to exceed 1 year

Extension - not to exceed 1 year (i.e., 2 years maximum)

Additional - only with CSC approval

Note: Competitive promotion procedures must be used if, after completing the period of service under temporary promotion, the employee will have spent more than 120 days (prior service under detail and previous temporary promotions) in higher grade positions during the preceding year.

DETAILS

Reference: FPM Chapter 300, Subchapter 8

Definition: A temporary assignment of an employee to a different position for a specified period, with the employee returning to his regular duties at the end of the detail.

Time Limits:

Same Grade. 120 days maximum unless CSC gives prior approval; if given, can be virtually without limit.

Higher Grade. 120 days maximum unless CSC gives prior approval; if given, can only be for 120 days additional maximum.

Competion required if for more than 60 days and to a higher grade job or to a job with known promotion potential.

APPOINTMENT/PROMOTION PROBLEMS

I. Your agency has a vacant GS-341-11 Administrative Officer position. Of the following available, qualified persons who have expressed an interest, which ones can be legitimately considered for filling the vacancy?

1. Lawrence Vigil, a GS-11 career employee of another agency.

2. Vicki Smythe, a GS-9 Assistant Administrative Officer in the Office Services Division of your agency's headquarters office.

3. Grover Washington, a veteran who served three months on a career-conditional appointment with your agency ten years ago, then resigned to start his own business.

4. Terrence Harrada, a Group II former employee who has been on your reemployment priority list since his separation fourteen months ago.

5. Melanie Monique, a GS-12 Personnel Officer in your agency's Anchorage, Alaska office who is willing to take a down-grade to get out of the north country.

Numbers 6 through 9 are on the Mid-level Register certificate of eligibles just sent by the Civil Service Commission:

6. Harold Jefferson 87 CP

7. Louella Myson 99

8. Charlie Chan III 98 TP

9. Mary Littlefinger 96 XP

10. Lyle Lorenzo, a Group I former employee who has been on your agency's reemployment priority list for twenty-one months.

RECRUITMENT SOURCES

SECRETARIAL

- School visits and testing
- Phone and letter campaigns
- Municipal campaigns
- Attractive literature and displays
- Paid advertising
- Free use of mass media
- Agency bulletins
- Employee Alumni Recruiting
- School/faculty recognition
- Community P.R. work
- Special training programs
- Part-time secretaries

EXPERIENCED PROFESSIONALS

- City campaigns
- Conventions/meetings
- Campus recruiting
- State/county/municipal governments
- Corporation/government RIFs
- Second-party recruiting
- Recruiter consultants
- Desk recruiting
- Applicant references
- Mass mailings
- World of advertising
- Other recruitment media
- Past/present employees
- Industry executives
- Grad alumni system
- USTES Professional Network
- Military separation centers
- Applicant talent bank
- Trade journals
- Special training programs

MINORITY RECRUITMENT

- College campuses
- Minority recruitors and consultants
- Past/present employees
- Minority concentration areas
- Community support groups
- Second-party recruiting
- Meetings/conventions/fraternities
- Off-continent recruiting
- Minority media
- Mass mailings
- Grad alumni system
- Applicant references
- Applicant talent bank

CAMPUS RECRUITMENT

- Campus radio and TV
- Other campus media
- Agency literature
- Informal talks to student groups
- Alma Mater recruiting
- Campus chapters of professional societies
- Recruiting through fraternities, sororities
- Mass mailings to selected students/organizations
- Conducting student tours of agency activities
- Follow-up on campus interviews
- Follow-up on the "one that got away"
- Alumni placement services
- Teacher recommendations

RECRUITMENT WORKSHOP

Instructions. You have just returned from a recruiting trip for the Commission on Inter-American Affairs. The following candidates have expressed at least a tentative interest in working for your agency.

1. PORTIA LOUISE LOYA. Age 22, single. Will graduate in June from Mid-Western University with a B.A. in German and Spanish and a B- average. Disliked math and science. Not active in any campus affairs. Good appearance and pleasing personality. Academic references: slightly above average. Doesn't know what job to take but wants to work with people, perhaps in a social work field like personnel. Willing to relocate though expresses doubts about leaving home since Washington has a reputation for a high crime rate. Took entry-level professional examination recently; results not known.

2. ARTHUR B. REDNOSE . Age 37, veteran, married. Will accept GS-9 as minimum grade. From 5/67 to present, Computer-Room Supervisor at $10,000 p.a. with Favor and Company. Has 5 Computer Operators in his unit. Uses IBM 360/30 and IBM 1401. From 4/63 to 5/67 was Senior Computer Operator, Data Processing Service. Previously WG-18, Bindery Foreman, Department of Commerce, for six years. Took computer courses at night with D.C. Business Institute. Willing to move from Boston. At interview appeared highly nervous and tense.

3. WALTER N. ROSS Age 21, college senior, Chemical Engineering, top 10%, vice-president of Senior Class, president of Chemical Engineering Club, member of Student-Faculty Committee. Accepted by MIT and Cal Tech graduate schools. Personality is intense, vehement, vocal. Recently in political and social demonstrations on and off campus; twice suspended; arrested four times, no convictions. When seen the candidate exhibited a very unkempt and untidy appearance, one suited perhaps to the latest in campus fashions, but not to a business interview. He expressed a warm interest in the agency's mission, but also has had an offer from an independent research foundation.

4. HELEN J. PETROCELLI . Age 24, HSG, Statistical Clerk for five years with Chicago insurance company. Still employed. Wants same type job at least at GS-4 level. Miss Petrocelli is black and single. She has expressed concern about possible housing discrimination in the Washington area. You had told her that it was agency policy to assist new employees to find housing without regard to race, creed, color, or national origin. On your return you discover rumors that the Commission may relocate from downtown Washington to Rockville, Maryland.

5. NORBERT O. KIOTO. Age 50, retired Army major, with vast administrative experience. BBA. On GS-12 Mid-Level Register. Wants Grounds Laborer job only to supplement retirement income. Claims gardening as hobby.

6. VIOLA WAGNER. Age 24, Clerk-Stenographer, passed CSC test and on register. Employed on current job for six years. Wants GS-4 or 5. Has history of epileptic seizures since age of 10, but none in past four years. Refuses to take medical exam on religious grounds.

7. ALEXANDER WASHINGTON. Age 60, Supervisory Industrial Engineer for almost 40 years. Forced to retire from Harrison Enterprises, St. Louis, Mo. (1955 to present) because of company policy. Has unit of 20 engineers, methods men, timestudy men. Has B.S. in Industrial Engineering. Doesn't want severe salary cut (from $17,500) as matter of pride. Would prefer managerial work but would take journeyman job on interim. Says he would work to age 70. Plans to charge present employers with discrimination on the basis of age.

CURRENT AGENCY OPENINGS

(2) Personnel Trainees. GS-5/7. Usually many applicants for job; high turnover.
(1) Administrative Assistant. GS-4 Many applicants; little turnover.
(1) Research Analyst Trainee. GS-5/7. Few applicants; high turnover.
(1) Industrial Engineer. GS-9/11/12. Few applicants; moderate turnover.
(1) Personnel Management Specialist (generalist). GS-12/13.
(3) Chemical Engineers. GS-9/11/12/12/14. Tremendous shortage; modest turnover at GS-9 and GS-14 levels.
(5) Computer Technicians. GS-5/6/7/8/9. Few applicants; chronic shortage. No supervisory positions open at present but these occur fairly frequently.
(10) Computer Operators. GS-5/6/7/8/9. Chronic shortage. Will train.
(3) Mail Clerks. GS-2/3. High turnover; few applicants except during summer.
(10) Grounds Laborers. Grades not known. Few applicants; high turnover and chronic shortage.
(2) Supervisory Grounds Laborers. Little turnover, few applicants. Grade n/a/
(3) Steno-Typists. GS-2/3/4/5.
(5) Clerk-Typist. GS-1/2/3/4.

Please evaluate the candidates in light of available jobs by indicating those you feel merit:

(a) further consideration of the application by appointing official
(b) an employment interview by appointing official
(c) immediate hire
(d) no consideration
(e) other

Give reasons for your decision and possible target positions if any for each candidate.

INTRODUCTION TO PERSONNEL MANAGEMENT

RECRUITMENT WORKSHOP SUMMARY OF FINDINGS

	A	B	C	D	E	Positions
Portia Louise Loya						
Arthur B. Rednose						
Walter N. Ross						
Helen Petrocelli						
Norbert O. Kioto						
Viola Wagner						
Alexander Washington						

Group Number__________

MERIT PROMOTION

Reference: FPM Chapter 335
Your Agency's Merit Promotion Plan

CSC requires each agency to adopt and administer "a program designed to insure systematic means of selection for promotion according to merit."

Requirements:

I. Merit Promotion plans must cover:

1. Reassignment or demotion to a position with known promotion potential (except as required by RIF procedures)
2. Selection for details over 60 days to a higher grade position or to one where known promotion potential exists.
3. Transfers to higher grade position or with known promotion potential.
4. Reinstatement to a higher grade or one with promotion potential.
5. Appointment of present/former employee from CSC register to higher grade or to position with known promotion potential.
6. Selection for training required for promotion.
7. Promotion to a higher grade position, except as noted below.

Do NOT apply to:

1. Career promotion (competition took place earlier)
2. Change to job with same promotion potential
3. Temporary promotion of 120 days or less
4. Remedy for failure to receive proper consideration earlier
5. Details of 60 days or less

Also:

1. Upgrades because of a new or corrected standard
2. Position change required by RIF
3. Repromotion where no fault

II. All must meet qualification standards

III. Method of Locating and identifying candidates

IV. Evaluation of candidates

V. Written tests only with CSC approval

VI. Management right to select/non-select

VII. No discrimination

VIII. Advising employees of requirements

IX. Training for supervisors

X. Records required

CSC gives guidance in FPM 335 Subchapter 2. Agencies must develop and implement their own Merit Promotion Plan. Review when you get back to your agency.

ISSUES IN MERIT PROMOTION

METHODS OF LOCATING ELIGIBLE CANDIDATES

1. Some promotion plans provide that only those who file voluntary applications, in response to vacancy announcements, get considered for openings. Discuss the advantages and disadvantages of this approach.

2. Some promotion plans rely on skills, files and supervisory referrals to search for candidates who meet the qualification standards. Discuss the advantages and disadvantages of these approaches.

METHODS OF EVALUATION

3. Agencies have the responsibility of evaluating eligible candidates for the purpose of identifying the best qualified. The evaluation criteria may include:

   -Rating of experience
   -Rating of education, training, self-development
   -Awards.

   That are the advantages and disadvantages of these evaluation methods?

4. Agencies have the responsibility of evaluating eligible candidates for the purpose of identifying the best qualified. The evaluation criteria may include:

   -Supervisory appraisals
   -The interview
   -Written and performance tests.

   What are the advantages and disadvantages of these evaluation methods?

RANKING CANDIDATES

5. Ranking eligible candidates on a promotion certificate may be done by placing candidates in 1-2-3 order, or by grouping them in two or more categories, e.g., "highly qualified" and "qualified." What are the advantages and disadvantages of each method? Are there other categories?

SELECTING CANDIDATES

6. In selecting candidates, how would you handle the following issues:
   -What information would you give the selecting official?
   -Would you require the selecting official to interview candidates?
   -Would you require the selecting official to justify his choice?
   -How would employees be informed of selection and non-selection?

PROMOTION FOLDERS: RECORD KEEPING

1. Vacancy announcement, if used, or identification of the position and the plan under which it was filled and description of the method or methods used to locate and identify candidates.

2. Record of expressions of interest with notations of disposition made of each to include a list of eligibles and a list of ineligibles with reason noted.

3. Evaluation criteria with an assessment of the relative value of each as it relates to successful performance of the duties and responsibilities of the position to be filled.

4. Qualification standard used, including selective placement factors if appropriate, with justification for their use. Need not duplicate information contained in the vacancy announcement.

5. If supervisory appraisals are filed in official personnel folders, a checklist of appraisals requested and received can be substituted in the promotion folder.

6. Individual rating forms for all qualified candidates.

7. Summary ranking sheet showing relative ranking of all qualified candidates with signatures of the promotion panel.

8. Identification of panel by name, position, title, and grade.

9. Promotion certificate with names of the best qualified candidates, selection notation, interview notation, and the signature of the selecting official.

-for training use only

Complete instructions on required promotion records are found in Basic Requirement 10, FPM Chapter 335, subchapter 2 (transmittal 198, issued August 23, 1973)

MERIT PROMOTION PROGRAM DISCUSSION QUESTIONS

1. T F Position descriptions must be filed in the promotion folders.

2. T F Promotion folders must contain the qualification standard used, including selective placement factors if appropriate (with justification for their use) but need not duplicate information contained in the vacancy announcement.

3. T F The number of priority considerations for promotion granted an individual can exceed the number of occasions proper procedural treatment was denied because this is not considered redress.

4. T F All transfers and reinstatements to a higher grade position must rank among the best qualified candidates before they can be selected.

5. T F Recent studies show that most promotion actions are processed as competitive promotion actions.

6. T F The merit promotion plan (including competitive procedures) must be followed for selection for details of more than 60 days to a higher grade position or to a position with known promotion potential.

7. T F The supervisor may recommend employees felt to be especially well-qualified for promotion.

8. T F Agencies must accept voluntary applications at any time from an employee who wishes to submit one.

9. T F When training is given primarily to prepare an employee for advancement and is required for promotion, selection for the training is made under the competitive promotion procedures.

10. T F Non-selection from a group of properly ranked and certified candidates is not considered a basis for formal complaint.

11. T F Special selective factors can be used even when not essential to the duties of the immediate vacancy, if they apply to positions with known promotion potential.

12. T F Once a candidate has been ranked as the best qualified in a promotion action, the best qualified ranking stands for all similar vacancies in the future.

QUALIFICATIONS PROBLEMS, PROFESSIONAL ENGINEERING, GS-800

1. John Doan graduated from East Podunk Tech with an Associate degree in electronic engineering. He then worked at Martin Engineering Company for six years in a job titled electronic engineer. He has reinstatement eligibility based on Federal service as a clker prior to his college experience. Can you hire him for Electronic Engineer, GS-12?

2. Sylvia Sykes graduated from East Oshkosh University with honors in chemistry. She worked as a chemical technician for one year and as a chemist for two years. She took and passed the registered professional engineer test in Mississippi. If she is a reinstatement eligible, can you hire her as a Chemical Engineer, GS-5?

3. Fred Rogers, a reinstatement eligible, graduated from Coal Tech with a 3.9 grade point average in mechanical engineering. He then worked for two years as a professional engineer at Sanders Engineering Corporation. Can he be hired for Mechanical Engineer, GS-11?

ALL PROFESSIONAL ENGINEERING SERIES[1]

All Professional Engineering Positions, GS-5/15

DESCRIPTION OF WORK

Engineers perform professional work that requires judgment in applying engineering and other scientific knowledge to develop ways to utilize economically the materials and forces of nature. This work involves the solution of engineering problems requiring a thorough understanding of the mathematical, physical, and engineering sciences upon which engineering is based; and a comprehensive knowledge of engineering concepts, techniques, and practices.

BASIC REQUIREMENTS FOR ALL PROFESSIONAL ENGINEERING POSITIONS AT ALL GRADES

Candidates must show successful completion of a full 4-year professional engineering curriculum leading to a bachelor's or higher degree in engineering in an accredited college or university. To be acceptable, the curriculum must:

(1) Be in a school of engineering with at least one curriculum accredited by the Engineers' Council for Professional Development (ECPD) as a professional engineering curriculum, *or*

(2) Include differential and integral calculus and courses (more advanced than first-year physics and chemistry) in five of the following seven areas of engineering science or physics: (*a*) statics, dynamics; (*b*) strength of materials (stress-strain relationships); (*c*) fluid mechanics, hydraulics; (*d*) thermodynamics; (*e*) electrical fields and circuits; (*f*) nature and properties of materials (relating particle and aggregate structure to properties); (*g*) any other comparable area of fundamental engineering science or physics, such as optics, heat transfer, soil mechanics, or electronics.

ALTERNATE REQUIREMENT

Candidates may substitute for the basic requirement an alternate requirement of at least 4 years of college-level education, training, and/or technical experience that furnished (1) a thorough knowledge of the physical and mathematical sciences underlying professional engineering, and (2) a good understanding, both theoretical and practical, of the engineering sciences and techniques and their applications to one of the branches of engineering. This knowledge and understanding must be equivalent to that provided by a full 4-year professional engineering curriculum, as described in the basic requirement. The adequacy of such background must be demonstrated by one of the following:

1. *Professional registration*

   Current registration as a professional engineer by any State, Guam, Puerto Rico, the District of Columbia, or the Canal Zone.

2. *Written test*

   (a) Evidence of having successfully passed the Engineer-in-Training Examination, or the written test required for professional registration, which is administered by the Boards of Engineering Examiners in the various States, District of Columbia, Puerto Rico, Guam, and the Canal Zone; *or*

   (b) Evidence of having achieved a score of 500 or better in the Engineering Test of the Graduate Record Examinations.

3. *Specified academic courses*

   Successful completion in an accredited college or university of at least 60 semester hours of courses in the physical, mathematical, and engineering sciences and in engineering. These must have included the courses specified in the basic requirement.

4. *Related curriculum*

   Successful completion in an accredited college of a full 4-year or longer related curriculum leading to a bachelor's or higher degree in an appropriate professional field, e.g., physics or architecture, may be accepted in lieu of a degree in engineering, provided the candidate has at least 1 year of professional engineering experience acquired under professional engineering supervision and guidance. Ordinarily there should be either an established plan of intensive training to develop professional engineering competence, or several years of prior professional engineering-type experience, e.g., in interdisciplinary positions.

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[1] This standard applies to the Naval Architecture Series, GS-871, but not to the Architecture Series, GS-808, or the Landscape Architecture Series, GS-807.

MINIMUM EDUCATIONAL REQUIREMENT FOR CERTAIN RESEARCH AND DEVELOPMENT POSITIONS

For positions involving highly technical research, design, development, or similar functions, candidates are required to show the successful completion of a full course of study in an accredited college or university leading to a bachelor's or higher degree in engineering or a related field.

The duties of such positions require application of a high level of fundamental scientific knowledge in the development, interpretation, and evaluation of new scientific knowledge, techniques, or products.

Note: The minimum educational requirement of all courses leading to a bachelor's degree does *not* apply to *all* research, development, and similar positions. There are, for example, some development engineering positions which involve work that can be performed by professionally-competent engineers with several years of engineering education, but less than a bachelor's degree. The talents of such persons who demonstrate possession of the required knowledges and abilities are needed to perform professional development engineering work. Every effort should be made to design jobs to make use of this valuable resource.

GS-5.—The basic requirements which apply to all grades are fully qualifying for grade GS-5.

ADDITIONAL EXPERIENCE AND TRAINING REQUIREMENTS

Candidates for grades GS-7 and above must have had either professional experience or graduate education (or an equivalent combination of both) in addition to meeting the basic requirements. Such professional experience or graduate education must have been in ★engineering or a related field.★

This experience or education must have equipped the candidate with the knowledge and ability to perform fully the work of the position for which he is being considered. For example, candidates for research positions must possess the aptitude or ability to perform professional research work at the appropriate grade level.

1. *Experience*

In addition to the basic requirements, the following amounts of professional experience are required for grades GS-7 and above:

Grade:	*Minimum amount of professional experience in appropriate subject-matter fields (years)*
GS-7	1
GS-9	2
GS-11 and above	3

For grades GS-11 and below, at least 6 months of the required experience must have been at the level of difficulty-comparable to that of the next lower grade, or 1 year comparable to the second lower grade, in the Federal service. For grades GS-12 and above, at least 1 year of the required experience must have been at a level of difficulty comparable to that of the next lower grade in the Federal service.

2. *Education*

In addition to the basic requirements, the following amounts and levels of education are qualifying for grades GS-7 and above, as shown:

Grade:	*Minimum amount or level of education in appropriate subject-matter fields*
GS-7	One full academic year of graduate education.

GS-9	Completion of all requirements for a master's or equivalent degree: *or* Two full academic years of graduate education.
GS-11	Completion of all requirements for a doctoral degree (Ph. D. or equivalent); *or* Three full academic years of graduate education.
GS-11 Research positions.	Completion of all requirements for a master's or an equivalent degree for which at least 2 full academic years of graduate study is required when— a. The position involves primarily *research* or very similar research-type exploratory development of a creative or advanced scientific nature. b. The knowledges required for the work are *typically and preferably* acquired through graduate study. c. The work is of such character that the academic preparation will equip the candidate to perform fully the professional work at the GS-11 level after a short orientation period.
GS-12 Research positions.	Completion of all requirements for a doctoral degree (Ph. D. or equivalent) for appointment to such positions as meet the following criteria: a. The position involves primarily research or very similar research-type exploratory development of a creative or advanced scientific nature. b. The knowledges required for the work are *typically and preferably* acquired through graduate study at the doctoral (Ph. D. or equivalent) level. c. The work is of such character that the academic preparation will equip the candidate to perform fully the professional work at the GS-12 level after a short orientation period.

3. *Combinations of professional experience and graduate education*

Equivalent combinations of professional experience and graduate education of the types described above are acceptable at each grade. (Thirty semester hours, or the equivalent, of part-time graduate education may be considered to be equal to 1 full academic year of graduate education.)

4. *Alternate requirements*

a. Superior academic achievement at the baccalaureate level or 1 year of student trainee experience is qualifying at grade GS-7. A combination of superior academic achievement at the baccalaureate level and 1 year of appropriate professional experience is qualifying at grade GS-9. In each case, the pertinent criteria in section III of part II, Instructions to Users, of this handbook must be met; *or*

b. Candidates with an engineering degree who have appropriate experience as a technician equivalent to grade GS-5 or higher may have such experience credited for grade GS-7 only on a month-for-month basis up to a maximum of 12 months; *or*

c. Successful completion of a 5-year program of study of at least 160 semester hours leading to a bachelor's degree in engineering, in an accredited college or university, is qualifying at GS-7.

DEFINITION OF PROFESSIONAL ENGINEERING EXPERIENCE

Professional engineering experience requires training represented by the completion of a full 4-year professional engineering curriculum leading to a bachelor's degree or the equivalent. More specifically, for the purpose of meeting the requirement specified for grades GS-7 and above, "professional engineering experience" is defined as nonroutine engineering work which requires (1) professional ability to apply scientific methodology to engineering problems, (2) comprehensive, in-depth knowledge of the mathematical, physical, and engineering sciences which characterize a professional engineering curriculum, and (3) continuing intensive development of professional knowledge and ability.

Professional work in engineering, like other fields of science, is marked by continuing personal effort to keep abreast of the advancing and ever-changing discipline.

In some situations, experience may be creditable even if it is not clearly professional engineering work. In such cases, the experience must have been preceded by prior responsible professional engineering experience and must contribute directly and significantly to the candidate's engineering competence. For example, an engineer might be assigned to a management-type position in preparation for assumption of higher-level responsibilities in engineering project management.

GRADUATE STUDY

1. Regardless of the field of undergraduate study, completion of the requirements for a master's or higher degree in engineering is fully qualifying for the grade indicated in this standard.
2. With a bachelor's degree in engineering, graduate education in a related field is acceptable in lieu of graduate study in engineering for appropriate types of positions. For example, a B.S. in engineering plus a 2-year master's degree in business administration would be qualifying for Industrial Engineer GS-9, but not for GS-9 laboratory positions in research and development.
3. In the absence of specific criteria in the college catalog, 30 semester hours or 45 quarter hours of graduate study may be evaluated as equivalent to a year of graduate study.

EXTRA CREDIT FOR CREATIVE RESEARCH OR DEVELOPMENT CONTRIBUTION

Candidates for research and development positions who are distinguished for having made a creative research or development contribution in a field, may be rated eligible for the next higher grade than that for which they would otherwise qualify on the basis of the standard requirements paragraphs.

SUPERVISORY POSITIONS

For supervisory positions, see the qualification standard for "Supervisory Positions in General Schedule Occupations," in part III of this handbook.

SPECIAL COMPETENCE IN PARTICULAR AREAS OF ENGINEERING

Many engineering positions demand specific competence in a particular function or area. For such positions, certification may be limited to those candidates whose records show evidence of the required capabilities. Because of the interrelationships of engineering fields and education therein, no specific length of specialized experience is required. (*Note:* The absence of such a requirement does not preclude use of options in an examination. The position-classification standards for various engineering series may be useful in identifying specialized requirements when they are essential.)

IN-SERVICE PLACEMENT ACTIONS

The following provisions apply to in-service placement actions only (such as promotions, reassignments, reinstatements, and transfers).

Candidates who met the requirements of the engineer qualification standard when previously appointed to a professional engineering position are not required to take any of the written tests specified in the alternate requirements.

Section II, part II of this handbook contains special provisions for evaluation of technician experience for professional positions for certain in-service placement actions.

BASIS OF RATING

Candidates will be rated on a scale of 100 on the basis of an evaluation of their personal and professional qualifications as indicated by data furnished in their application forms, and by information which may be gained through confidential inquiries to their superiors, associates, and other professional references.

In evaluating qualifications, consideration will be given to performance as a certified or registered member of the profession, as well as to publications, inventions, participation in public affairs, membership in and creative work for professional or scientific societies, and work cited by special honors and fellowships.

GUIDE FOR THE EVALUATION OF QUALIFICATIONS

Engineering curricula

The Engineers' Council for Professional Development accredits specific engineering curricula; it does not accredit institutions. Thus, an accredited college may have (1) ECPD-accredited professional engineering curricula; (2) professional engineering curricula that are not ECPD-accredited; and (3) 4-year curricula in engineering technology which may or may not be ECPD-accredited.

The Engineers' Council for Professional Development publishes two bulletins: "Accredited Curricula Leading to First Degrees in Engineering" and "Accredited Curricula Leading to First Degrees in Engineering Technology." Either bulletin may be purchased for 25¢ from the Engineers' Council for Professional Development, 345 East 47th Street, New York, N.Y. 10017. A summary of ECPD-accredited engineering programs also appears in the June 1967 issue of the *Journal of Engineering Education.*

A growing number of institutions offer a 4-year curriculum leading to a bachelor's degree in engineering technology. Such curricula are designed to prepare the student for a career as an engineering technician. A curriculum in engineering technology may *not* be accepted as a professional engineering curriculum. Usually, college catalogues state that a curriculum in engineering technology does not prepare the student for a professional engineering career.

Some engineering curricula are acceptable as meeting the basic requirement even though such curricula are not specifically accredited by the Engineer's Council for Professional Development. As a general rule, any curriculum which is identified as a professional engineering curriculum in an engineering school that has one or more of its curricula accredited by ECPD may be accepted. It should be noted, however, that some universities have curricula identified as engineering curricula outside the engineering school, e.g., in the school of architecture or forestry. Such curricula need to be reviewed to see if they comply with the requirements of paragraph (2) of the basic requirement.

Evaluation of experience as the equivalent of a degree in engineering

For candidates who have not completed a professional engineering curriculum, an appropriate score on one of the written tests is not automatically qualifying. The candidate must also show that he has 4 years of education and/or experience which provided the equivalent of a degree in engineering.

Generally, experience in itself will not give a person the familiarity with engineering concepts and principles and the basic scientific knowledges needed for a professional approach in the solution of engineering problems. Experience must be supplemented with the study of appropriate and pertinent literature. The study may be formalized in the sense that it is performed at a college or university (day or night time study) or it may be informal and performed with a minimum of guidance from skilled teachers. Direction of the study may come from qualified engineers with whom the person is working, from paid tutors, or, in part, from extension or correspondence courses.

Eligibility depends not merely on length of experience, but on the substituted experience being, in itself, an education. In evaluating the individual's professional knowledge and development the following attributes are important. The professional should—

(a) know where and how to find the answers;
(b) have the ability to select and apply theory to achieve results;
(c) show a desire for self development;

(d) exercise initiative in resolving engineering problems;
(e) have the ability to hold his own in a professional discussion;
(f) have the ability to write a technical report.

Occasionally, it may be proposed to qualify a high-level engineering technician as a professional engineer even though the incumbent lacks the breadth and depth of background required of an engineer. This may result from the outstanding performance of the technician having an impact on the job significant enough to change the level of the work. Also, the work assigned to the technician may include assignments and working objectives comparable in difficulty to those of professional engineers in relatively high grades. The technician should not be qualified as an engineer unless he satisfies the basic or alternate requirement, for all positions. Normally this would mean passing one of the specified written tests or other requirements. Otherwise the position should be classified to the appropriate grade level in the Engineering Technician Series, GS-802, or other appropriate technician series. (Additional information on this point is contained in the Introduction to the Position-Classification Standards, Section II, B "The Impact of the Man on the Job," and in the Introduction to the Engineering and Architecture Group, GS-800.)

What to look for in establishing grade and quality levels

The introduction to the position-classification standards for the Engineering and Architecture Group, GS-800, the grade-evaluation guides for functional areas in engineering, and the classification standards for the engineering series discuss the nature of the work, and the knowledges and abilities required for professional engineering work at the various grade levels. The classification standards are a basic and valuable source of background information on engineering positions in the Federal service.

The following considerations are offered as guides in determining the quality and level of a candidate's professional background:

1. To be qualifying, the experience offered should show the use of judgment in applying professional principles. The experience should require more than the routine observation and recording of technical data. The experience should enable the candidate to advance in professional knowledge, and develop and mature his professional judgment.
2. Engineers frequently must weigh technical procedures, economic and business considerations in making decisions. Experience which provides for this type of analysis is valuable.
3. Supervision by professional engineers capable of providing professional guidance and contributing to professional growth is very important at the lower grade levels.
4. Supervision or review of the work of others is valuable in broadening the background and maturing the professional judgment of the candidate.
5. Public speaking and negotiating experience is valuable.
6. Consideration should be given to performance as a licensed or registered member of the profession, as well as to publications, inventions, participation in public affairs, membership in and creative work for professional or scientific societies, and work cited by special honors and fellowships.
7. Continuing education, formal or informal, is an essential element of professional engineering competence and should be appropriately weighted.

ENGINEERING REGISTRATION

★Registration as a professional engineer is an appropriate selective placement factor for appointment to certain high level engineering positions. The key consideration is that registration must be *essential* for acceptable performance of the work of the position to be filled. Accordingly, it is in an appropriate requirement for positions whose duties and responsibilities satisfy one of the following criteria:

—The position involves responsibility for final approval of designs of major structures and facilities involving public safety where such compliance with State laws meets an essential need of the engineering organization to provide objective evidence to agency management and the public that the work is performed by engineers of proven competence.

—The position involves responsibility for engineering determinations concerning contract awards or other major aspects of design and construction work to be performed by engineers in the private sector, where registration is essential to have their full confidence and respect to achieve cooperation on critical engineering issues.

Relatively few engineering positions in the Federal service have duties and responsibilities that would support a requirement for registration. The position description should clearly document the basis for the registration requirement. It would be inappropriate to require that candidates be registered for positions with less responsibility than that indicated above, for positions that involve responsibilities and functions such as research and development, or for the sole purpose of improving the "image" of engineers in the Federal service.

For the great majority of engineering positions that do not require registration, registration, or certification as an engineer-in-training, may be considered as a factor in evaluating the qualification of candidates and in determining their relative ranking.

Because of the importance of registration for those positions where it is an appropriate requirement, such positions have been characteristically filled by registered professional engineers. However, if there are any engineers who are not registered but who are serving in positions for which registration is required, they would not be directly affected by the establishment of this requirement. Persons serving in positions at the time new requirements are established are treated as "grandfathers" as though they met the requirements, in accordance with the principles in section 5-2d of FPM Chapter 338.★

PHYSICAL REQUIREMENTS

See part II, Physical Requirements, paragraph 15. In addition, some positions require the ability to distinguish either basic or shades of colors. Candidates must possess emotional and mental stability.

QUALIFICATIONS PROBLEMS, BIOTECH, GS-404

1. You are interviewing a reinstatement eligible for Biological Lab Aid, GS-404-4. She graduated from a two-year technical institute with a major in chemistry. Can she be reinstated to the position?

2. Another reinstatement eligible, John Joy, is being interviewed for a Biological Aid, GS-404-4 position in your agency. The specialization is husbandry. John worked on his father's farm part-time until he was 19. He then worked as a GS-2 and GS-3 clerk for two years before going in the service as an infantryman for two years. Can he be reinstated to this position?

3. You are interviewing a VRA eligible for the position of Biological Lab Technician, GS-404-5. He has a degree in biology. Can you hire him?

4. Your agency is filling a Biological Lab Technician, GS-404-4 (Soils) position. All of the eligibles on a CSC certificate sent you meet the X-118 standards, but have no soils education or experience. Can you object?

BIOLOGICAL TECHNICIAN SERIES

Biological Aid GS-1/4
Biological Laboratory Technician GS-5/11
Biological Technician GS-5/11
Agricultural Research Technician GS-5/11

DESCRIPTION OF WORK

Biological aids and technicians work in biological and agricultural laboratories and field or experimental areas such as greenhouses, growth houses, hatcheries, wildlife refuges, etc. They provide technical support and assistance to professional personnel engaged in scientific and technical work in the biological and agricultural sciences. The duties of these positions vary with the specific type of assignment and with the grade of the position. In general, these positions operate within a narrow and limited segment of a specific field or require knowledge of particular methods, procedures, and techniques common to several fields of biological or agricultural sciences.

The following specializations are authorized for grades GS-4 and above: Microbiology, Laboratory Animal, Biochemistry, Plants, Husbandry, Insects, Soils, Fisheries and Wildlife. A detailed discussion of these specializations is included in the classification standard.

EXPERIENCE, TRAINING, AND OTHER REQUIREMENTS

Written test required for GS-2 and GS-3 positions

A written test of the abilities, aptitudes and skills necessary to learn and perform the duties of the job is required for all positions at GS-2 and GS-3. The written test is designed to measure verbal ability, clerical aptitude, fine finger dexterity, the ability to perform simple arithmetic operations, and the ability to follow oral instructions.

Candidates for positions at GS-1 must (1) pass the written test; or (2) present satisfactory evidence of successful completion of a full 4-year or senior high school curriculum; or (3) show 3 months of appropriate training or experience which has demonstrated aptitude for biology or agriculture.

Grade	General experience (years)	Specialized experience (years)	Total experience (years)
GS-1	0	0	0
GS-2	½	0	½
GS-3	1	0	1
GS-4	1½	½	2
GS-5	2	1	3
GS-6	2	2	4
GS-7	2	3	5
GS-8 and above	2	4	6

Experience required

Except as otherwise provided below, candidates must have the following length and type of experience:

General experience: For any grade level, this experience must have been acquired through work which has provided training and experience in the application of techniques and processes in the biological or agricultural sciences characteristic of laboratory work or work in field areas (outdoors) and/or experimental areas, such as greenhouses, barns, etc. Examples of acceptable work experience include laboratory helper; work performed in connection with animals, such as farming or work at zoos, animal hospitals, etc.; work performed in connection with the tilling of soil and the growing of crops, such as work performed on farms, or in orchards, greenhouses, etc.

Specialized experience: The specialized experience required must have been in the specialization (e.g., Microbiology, Laboratory Animal, Biochemistry, Plants, Husbandry, Insects, Soil, Fisheries, and Wildlife) for which application is made or must have evidenced skill in techniques peculiar to the specialization.

The specialized experience required for positions in the Plants, Husbandry, and Soils specializations must have been gained in a controlled work situation. Examples of this are responsible experience in a research activity or a control program; experience comparable to that one would have working with a nursery firm which would have required the growing and maintenance of plants in a controlled environment; or experience comparable to that with a large dairy farm where production records, animal environment, and sanitary conditions were kept in accordance with modern dairy practice. Straight farming experience that was not performed in a controlled environment, or experience as a laborer who was not responsible for planning and scheduling his own work, and only performed assigned tasks would not qualify as specialized experience.

QUALITY OF EXPERIENCE

For eligibility *at grade GS-4*, candidates must have had at least 6 months of specialized experience comparable in level of difficulty and responsibility to the GS-3 level in the Federal service.

For eligibility *at grade GS-5*, candidates must have had at least 1 year of experience comparable in level of difficulty and responsibility to the GS-4 level in the Federal service, of which at least 6 months must have been specialized experience.

For eligibility *at grades GS-6 through GS-11*, at least 1 year of the required specialized experience must have been comparable in level of difficulty and responsibility to the next lower grade in the Federal service or 2 years comparable to the second lower grade in the Federal service.

For positions *at GS-9 and above*, at least 1 year of the specialized experience must be directly related to the duties of the specific position to be filled. Placement of technicians in positions at GS-9 and above, either through selective certification or noncompetitive action, must be predicated upon (1) a detailed job analysis of the knowledges, abilities, and skills required for the work, and (2) an itemized matching of the candidate's knowledges, abilities, and skills sufficient to assure satisfactory performance.

Specialized experience must have been characterized by progression in difficulty and responsibility or variety, or must have been supplemented by academic study so that there is substantial development of the candidate's skill, knowledge, and ability. For any grade, the required amount of experience and education will not, in itself, be accepted as proof of qualification for a position. The candidate's record of experience and education must demonstrate conclusively that he possesses the ability to perform completely the duties of the position.

SUBSTITUTION OF EDUCATION FOR EXPERIENCE

Successfully completed education of acceptable type and quality may be substituted for the experience requirements at the various grade levels, as specified below:

GS-2: Graduation from high school, in a curriculum which included 1 year of algebra or more advanced mathematics and two ½-year courses in other mathematics, natural or physical science, and/or technology may be substituted in full for the experience requirements at the GS-2 level. (High school education may not be substituted for any part of the experience requirements for GS-3 and above.)

GS-3: Successful completion of 1 year of post high school education in an accredited resident institution that included or was supplemented by at least 12 semester hours in any combination of scientific or technical subjects such as: biology, chemistry, statistics, entomology, animal husbandry, wildlife biology, forestry, botany, physics, agriculture, or mathematics, may be substituted for 1 year of experience, and meets in full the experience requirements at the GS-3 level.

GS-4: Two years of academic study as described for GS-3 above, which included or was supplemented by at least 24 semester hours in any combination of the subjects as listed, may be substituted for 2 years of experience including ½ year of specialized experience, and meets in full the experience requirements at the GS-4 level. At least 6 semester hours of the required course work must have been directly applicable to the specialization for which application is made.

GS-5: Successful completion of all the requirements for the bachelor's degree which was in a major field of study appropriate to the specialization for which application is made, or which included 12 semester hours per year in pertinent courses, may be substituted for 3 years of experience, including 1 year of specialized experience, and meets in full the experience requirements at the GS-5 level.

The successful completion of a full course of at least 12 months in a school for clinical laboratory technicians may be substituted for 1 year of specialized experience required for positions in the Microbiology and Biochemistry specializations. For other positions such a course may be substituted for 1 year of general experience. Evidence of the course content and satisfactory completion of this training must be submitted. No substitutions will be permitted for partially completed technician courses of this type.

Education and training other than that outlined above, e.g., specialized training acquired while serving in the Armed Forces of the United States or in manpower development programs, will be allowed appropriate credit, depending upon its applicability and extent.

The maximum amount of experience for which education of any kind, including high school, may be substituted is 3 years.

EXTRA CREDIT FOR OUTSTANDING COMPETENCE (OPTIONAL PROVISION)

For positions at GS-9 and above, candidates who show positive evidence of outstanding competence and exceptional accomplishment may be rated eligible for the next higher grade than that for which they would otherwise qualify on the basis of the standard requirements of education and experience. Such candidates must demonstrate (*a*) outstanding competence based on a combination of factors such as subject-matter knowledge, creativity, specialized skills, progression of experience, and continuing growth through academic study; (*b*) a record of accomplishment which is recognized in the professional and technical community as exceptional and is marked by awards, published papers, citations, patents, or similar evidence; (*c*) proven ability to perform fully the work of the position to be filled; and (*d*) that they are clearly outstanding with respect to candidates with comparable backgrounds of experience and training.

SELECTIVE CERTIFICATION

Some positions in this series at grades GS-4 and above, which include responsibility for performing work in a laboratory environment, require skill in certain techniques which are more specific than the broad specializations provided in this series. For these positions, selective certification may be made according to a certain technique in lieu of certification according to the specializations provided. An example of a position for which selective certification according to a certain technique could be used is a position requiring skill in histological techniques. Candidates must have experience either in the specialization or in the specific techniques needed in the job being filled. Some positions in this series at GS-7 and above require very particular abilities and knowledge about a specific type of research or problem under study. In such cases, the required degree of specialization is much narrower than the broad specializations provided. (See the general discussion of the specialization pattern included in the classification standard.) In such instances, certification or noncompetitive selection may be limited to persons who show required specialized experience which is directly applicable to the position for which application is made.

BASIS OF RATING

Competitors for all positions will be rated on a scale of 100. The basis of rating will be:

For grade GS-1: An evaluation of experience and training.

For grades GS-2 and GS-3: Written test score.

For grades GS-4 and above: An evaluation of training and experience.

The following knowledges, abilities, and personal characteristics are required for successful performance of aid and technician duties at GS-4 and above. They will be used as rating factors in the evaluation of each applicant's experience. All of these knowledges, abilities, and personal characteristics are not required by every technician position, nor will they be possessed by every eligible candidate to the same degree. All applicants will be evaluated and ranked according to the degree to which they possess the knowledges, abilities, and personal characteristics required by the position applied for. This evaluation and ranking will be based on the scope and quality of each candidate's experience, education, knowledges, abilities, and personal characteristics and not on length of experience. In evaluating the candidate's experience and training, attention should be given to the following factors:

1. Technical knowledge in one or more biological or agricultural sciences.
2. Skill in using laboratory equipment and making laboratory tests. (This is a factor only for positions in the laboratory environment.)
3. Ability to work under controlled conditions; to follow instructions or a plan; to keep accurate records; to make simple computations accurately, such as percentages; and to write reports.
4. Ability to make accurate observations, notice the unusual or abnormal.
5. Ability to work independently for long periods of time without supervision, to plan work from day to day on the basis of general guidelines.
6. Ability to make constructive suggestions for modification or improvement of methods, procedures, plans, techniques, equipment, or apparatus.
7. Technical knowledge and ability to plan activities within a specialized area of work under directions giving only general objectives. (This is a factor only at the higher grade levels.)
8. Initiative and willingness to accept responsibility.
9. For positions requiring direction of the work of others, ability to coordinate and supervise the work of other biological technicians or laborers.

Candidates for biological technician positions at GS-4 and above will be rated on a scale of 100 on the quality of their experience and training as related to the duties of the position. Such ratings will be based upon an evaluation of the candidate's education, experience, knowledges, abilities, and personal characteristics as outlined in their applications and upon any additional evidence received by the Civil Service Commission. The amount of experience will not, in itself, be accepted as proof of their qualifications. Candidates should give a clear and complete description of their experience and training and the projects they have worked on that show their possession of the required knowledges, abilities, and personal qualities for biological technician positions.

CONFIDENTIAL INQUIRIES—ALL POSITIONS

Confidential inquiries may be made of persons who are qualified to evaluate the individual candidates for these positions as an additional means of determining whether the candidate's experience is of the quality sought. References will be asked to evaluate candidates on characteristics necessary for job success in these positions. Candidates will be rated ineligible where information is received which indicates that the candidate does not possess the necessary qualifications.

NONCOMPETITIVE ACTIONS

Written test

The test may be waived in noncompetitive actions, but not for appointments outside the register.

Credit for high school education

In noncompetitive actions at GS–2 and GS–3 successfully completed high school education may be credited in accordance with the "add-on" rule, Section 3–1(b), FPM Chapter 337.

GUIDES FOR APPRAISING CANDIDATES

A wide diversity of technical knowledges is required for positions in this series at grades GS–4 and above. It is important, therefore, in crediting "specialized" experience, or in substituting education for it, to be sure that the work situation or course work credited has provided practice and training in the knowledges and techniques required for the specialization for which the candidate is being considered.

For positions at grades GS–4 and above, in crediting college-level education offered in lieu of experience, that education which shows the greater number of credits earned in courses directly related to the specialization for which the candidate is being considered is the more valuable.

PHYSICAL REQUIREMENTS

See part II, Physical Requirements, paragraph 16. In addition, the duties of most positions require the ability to distinguish either basic or shades of colors. However, there may be a few positions which do not require these abilities and candidates with defective color vision will receive consideration. Candidates must possess emotional and mental stability.

UNITED STATES CIVIL SERVICE COMMISSION

DENVER REGION

Building 20, Denver Federal Center
Denver, Colorado 80225

DE RL 300-25

January 24, 1973

DENVER REGION LETTER NO. 300-25

SUBJECT: National Programs and the Federal Personnel System

TO: Appointing Officers

In DERL 300-5 we furnished a list of national programs which all Federal managers should support either as training hosts or employers. Attachment 1 to this letter is an update of that list with many new additions.

The 21 programs included herein offer the Federal manager several different means of employing youths, college students, disadvantaged adults, physically/mentally handicapped, faculty members, veterans, and prisoners.

Federal managers are reminded that individuals employed under Economic Opportunity and Vocational Education programs are not Federal employees in the technical or legal sense. Programs in these categories are: Neighborhood Youth Corps, College Work Study, Manpower Development Training, and Vocational Work Study. Under these programs, Federal agencies merely provide host training and work stations for the participants, who are paid from grant funds allocated to the particular program.

We encourage you to support these programs whenever possible and cooperate fully with the local authorities administering them.

William H. Rima, Jr.
Director

Attachment

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PROGRAM	COST	AGENCY RESPONSIBILITY	APPTG. AUTHORITY/REFERENCE
YOUTH EMPLOYMENT			
Neighborhood Youth Corps - Disadvantaged youths 14-21 years old. May work up to 15 hrs./wk. if in school or 32 hrs./wk. if out of school.	10% of salary (usually in kind contributions--e.g., supervisory cost).	Provide host (ages 16 & over) training and supervision--not Federal employees.	Economic Opportunity Act of 1964. FPM Letter 300-11.
President's Stay-in-School Program - 16-21 year old students who maintain acceptable school standing and need earnings to stay in school. Limited to 16 hrs. per school week and 40 hrs. per week otherwise.	100% of enrollee's salary--set by agency.	Provide actual part-time work and supervision under Schedule A, Section 213.3102(w).	Schedule A, 213.3102(w). FPM 213, Appendix F.
Vocational Work Study - Needy, full-time vocational students, age 16-21.	None to host.	Federal agencies cannot act as sponsors, but provide work stations for selected students-not Federal employees.	Vocational Education Act of 1963. FPM 308.
COLLEGE STUDENTS			
College Work Study - Needy college students--15 hours during school weeks and full time otherwise.	A minimum of 20% of student's salary set by his college--this amount is usually paid to the college.	Provide work experience related to student's studies--not Federal employees.	Economic Opportunity Act of 1964. FPM 308.
Cooperative Education - Undergraduate students at accredited institutions of higher learning alternate periods of academic study with periods of study related employment.	100% of salary.	Provide job opportunities in a related field to students' curriculum and work with their schools to arrange work schedules on a quarterly trimester, semester or similar basis. Daily, weekly, part-time, or intermittent schedules are not recommended. Appointments at GS-2 to GS-5 levels only.	FPM 308.

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PROGRAM	COST	AGENCY RESPONSIBILITY	APPTG. AUTHORITY/REFERENCE
COLLEGE STUDENTS (Cont'd)			
Student Trainee - College students, part-time employment.	100% of salary.	Provide on-the-job training that corresponds to students' regular scholastic assignments.	Schedule B, 213.3202(a). FPM 213, Appendix D.
Law Clerk Trainee - Graduates of recognized law schools--14 months limited employment.	100% of salary.	Provide temporary work experience in a variety of legal clerical or quasi-legal duties (pending admission to the bar).	Schedule A, 213.3102(e). FPM 213, Appendix C.
Scientific, Professional & Technical Assistants - High school or college students--maximum employment time NTE 1040 hours per year.	100% of salary.	Provide temporary or intermittent employment at level GS-7 or below as assistants to scientific, professional, or technical personnel that corresponds to the students' present course of study.	Schedule A, 213.3102(q). FPM 213, Appendix C.
Graduate Students - Bona fide graduate students in pursuit of a degree--employed for a period NTE 1 year.	100% of salary.	Provide employment in scientific, professional, or analytical positions to serve as a basis for completing academic requirements toward a graduate degree.	Schedule A, 213.3102(p). FPM 213, Appendix C.
DISADVANTAGED			
Work Experience Program-TITLE V Work Incentive Program-TITLE IV Unemployed parents with dependent children--needy adults--16 year old children from homes receiving ADC - up to 40 hours of work/week.	None - if training host. Regular salary if given a regular or temporary appointment.	Provide training or actual work to persons receiving welfare.	Economic Opportunity Act of 1964. FPM Letter 300-11.

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PROGRAM	COST	AGENCY RESPONSIBILITY	APPTG. AUTHORITY/REFERENCE
DISADVANTAGED (Cont'd)			
Manpower Development Training Act - Any unemployed or underemployed individual who can not get a full-time job without training--no limit on hours of work.	None - training host.	Provide training - not Federal employees.	MDTA - Section 303(a), 303(b), and 305(a). FPM Letter 300-11.
New Careers - Unemployed and low income adults age 22 or older--30 hours of work and 10 hours of training/week.	10% of salary first year, 50% of salary and related fringe benefits second year.	Provide entry-level training in preparation for subprofessional duties.	Economic Opportunity Act of 1964. FPM Letter 300-11.
PHYSICALLY/MENTALLY HANDICAPPED			
Permanent Employment of Physically Handicapped - Opportunities for well qualified, severely handicapped adults in a permanent appointment.	100% of salary.	Provide meaningful employment and arrange for suitable working conditions to facilitate the individual's adjustment to the job.	Schedule A, 213.3[illegible](u). FPM 306.
Temporary Employment of Physically Handicapped - Opportunities for trial appointments of severely handicapped adults--appointment NTE 700 hours.	100% of salary.	Provide meaningful temporary employment and arrange for suitable working conditions to facilitate the individual's adjustment to the job.	FPM 316-4.
Employment of Mentally Restored- A temporary limited appointment NTE 700 hours.	100% of salary.	Provide employment up to the GS-7 level.	FPM 306.
Employment of Mentally Retarded- Appointment in accordance with written agreements between an agency and CSC.	100% of salary.	Provide excepted appointments for suitable work to be carried out with State Vocational Rehabilitation agencies.	Schedule A, 212.3102(t). FPM 306.

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Attachment to DERL 300-25 (4

PROGRAM	COST	AGENCY RESPONSIBILITY	APPTG. AUTHORITY/REFERENCE
FACULTY MEMBERS			
College Faculty Members - Employed for a maximum of 130 working days a year.	100% of salary.	Provide employment in scientific, professional, or analytical positions for bona fide college faculty members.	Schedule A, 213.3102(o). FPM 213, Appendix C.
High School Science & Math Teachers - Temporary appointment NTE 1040 hours a year.	100% of salary.	Provide temporary employment of a sub-professional or technical supportive nature related to the field of teaching.	Schedule A, 213.3102(q). FPM 213, Appendix C.
VETERANS			
Vietnam Era Veterans - A non-competitive temporary limited appointment of Vietnam Era Veterans who have completed no more than 14 years of formal education--appointed within 1 year after honorable separation from service.	100% of salary.	Provide temporary employment at the GS-5 level or below.	Section 316.402. FPM Letter 316-9.
Veterans Readjustment - Returning veterans with no more than 14 years of formal education--appointed within 1 year after honorable separation from service.	100% of salary.	Provide permanent employment opportunity coupled with training or education.	Executive Order 11521. FPM Letter 307-3.
Project Transition	None - Training Host	Provide temp training in fields with growth potential	
PRISONERS			
Work/Release - Inmates of Federal penal and correctional institutions appointed for a period NTE 1 year.	100% of salary.	Provide employment in shortage category positions.	Schedule A, 213.3102(x). FPM 213.

CONDUCT AND DISCIPLINE CASES

INCIDENT # 1. DOROTHY EAGER.

Miss Dorothy Eager was promoted to Accounts Maintenance Clerk, GS-3, about six months ago. During a routine inspection, an auditor noted an ommission on Miss Eager's records and informed her supervisor, Miss Pinchpenny. Miss Pinchpenny then instructed Miss Eager to complete the posting. Miss Eager, still uncertain as to the correctness of the action, checked with a former supervisor of another unit, who verified the correctness of the action. Miss Eager then completed the posting.

Miss Pinchpenny, hearing of this incident, proposed taking disciplinary action for failure to follow instructions.

INCIDENT # 2. CHARLES EARLY.

Charles Early was seen leaving the building 15 minutes early. Mr. Early has been warned about this several times before. On the last occasion, he was given a written reprimand. The supervisor requests assistance on the appropriate disciplinary action to take.

1. What should be recommended as appropriate actions?
2. What line of reasoning led to these recommendations?
3. What possible results can we reasonably anticipate if action was taken on the basis of these recommendations? What can be done to forestall untoward results?

The Case of Pete Poore

A.

You are the Employee Relations Specialist. Pete Poore has an appointment with you at 2 .pm. tomorrow. Over the phone he told you that his boss has been riding him for some time, and now things have come to a head: the sick leave he took on Wednesday was disapproved and he was charged unauthorized absence, for which he received a letter of reprimand. Also, of course, he lost a day's pay. He wants your help in preparing an appeal.

What information should you review before Pete comes in?

Where will you get the information?

The Case of Pete Poore

B.

Pete Poore, Management Technicain GS-7

When you were selected for a management trainee you thought you had it made. After all, management systems requires mainly common sense and experience, and you had worked in all the sections. In fact when you were supervisor of X Clerical Unit you received two outstanding performance ratings.

Lately, however, things have been falling apart. The boss keeps bringing in college kids off the FSEE, and they can do no wrong. Many of them come in at GS-7, the grade it took you 10 years to reach, and some even come on board at GS-9. You've applied for several GS-9 jobs through the promotion program, but have been passed over every time.

Meantime the kids are getting more expensive, so your wife took a job selling dresses in Woodies'. Her mother looks after the kids after school, and you guess neither of them thinks you are going very far. Somehow, with Stern on your back at the office and the atmosphere at home, you forgot to pay the phone bill and on Tuesday the company shut off the service. So you went out with the boys Tuesday night and Wednesday morning you felt terrible. You've used a lot of sick leave, but Stern has always OK'd it up to now, so you told Joe in the car pool to call the office for you-- but he must have forgotten.

Anyhow Stern made a federal case out of it -- wouldn't approve sick leave, which meant you were carried on unauthorized absence and docked a day's pay. Besides he has a lot to say about your performance -- none of it good. You're sick of him riding you and you're going to put in a grievance.

The Case of Pete Poore

C.

You are the Employee Relations Specialist. Mike Stern, Chief, Management Systems Branch, telephoned to say he would like to see you; he wants to find out what can be done about a problem employee. His name is Pete Poore.

Plan to interview Mike Stern.

The Case of Pete Poore

D.

You have a job to do and you intend to finish it up as soon as possible and get back to your real career (teaching in the School of Business and Public Administration in the state university plus consultant work). You are fed up with coddling the deadbeats that get in your way. You don't see why you have to put up with incompetents without the education, imagination, or interest the work requires.

Pete Poore is the worst of your problems. It's bad enough that he can't see beyond the clerical procedures -- but he's a malingerer, always taking sick leave. And when he isn't sick he's got some kind of emergency and wants annual leave. The last straw was Wednesday when he didn't show up or even call in.

So you decided to put a stop to this nonsense and told him so. You disapproved the sick leave he asked for and had him charged with unauthorized absence. Now he's about to grieve.

Whether he grieves doesn't really matter, in your opinion; what does matter is that the branch would be a lot better off without him. You are on your way to Personnel to try to unload Peter, one way or another.

ADVERSE ACTION FACT SHEET

WHAT ARE ADVERSE ACTIONS

1. Removals.
2. Suspensions for more than 30 days.
3. Furlough without pay for 30 days or less.*
4. Reduction in rank or compensation.

*Note: If or more than 30 days, reduction in force applies.

WHAT ARE NOT ADVERSE ACTIONS

Reduction in force.
Leave without pay.
Unsatisfactory rating.
Failure to get promoted.
Mandatory retirement.
Security.
Failure of TAPER to convert to career appt.
Returning employee to original job from a temporary promotion.

ADVERSE ACTION. A personnel action considered unfavorable to an employee that promotes the efficiency of the service. It is not always a disciplinary action. It may mean wrong doing involved, or just that the employee was adversely affected. Coverage includes employees in the competitive service who have completed probationary or trial periods, and employees with veterans preference who have been continuously employed for one year or more in a position not in the competitive service.

REMOVAL. A separation based on a management decision. It includes forced retirements and resignations.

SUSPENSIONS FOR MORE THAN 30 DAYS. A separation is an action taken for disciplinary reasons, or pending inquiry, to place an employee in a temporary absent from duty and non-pay status. Series of under 30 day suspensions, totalling over 30 days, is treated like one suspension of more than 30 days.

FURLOUGH WITHOUT PAY FOR 30 DAYS OR LESS. A furlough is an action placing an employee in a temporary absent from duty and non-pay status for non-disciplinary reasons (lack of work or lack of money). Days need not be consecutive.

REDUCTION IN RANK OR COMPENSATION. An official personnel action which includes reassignment to a position subordinate to the position previously held and failure to promote a qualified employee to a position upgraded without substantial change in job content. Does not include change in title or loss of fringe benefits. Reduction in compensation means a loss in base pay, not premium, night, overtime, hazardous duty, or holiday pay. It must take place as a non-RIF action.

PROPOSED ADVERSE ACTION NOTICE CHECKLIST

1. Is it actually a proposal of action?

   NOTE: Inclusion of a single phrase such as "it has been decided to remove" or "you will be removed" takes a notice out of the proposed category--no matter what other language is used--and reversal is required.

2. Does it state the specific penalty proposed?

   NOTE: Proposals to take "an appropriate disciplinary action: or "suitable corrective action" are totally deficient since such indefinite statements may mislead the employee to believe that no drastic action is contemplated.

3. What date did the employee receive the notice?

4. What was the effective date of the proposed action?

5. How many calendar days intervened disregarding both the date of receipt and the proposed effective date of the action?

6. Is the number of days appropriate in terms of the employee's status and tenure?

   NOTE: Carefully compare employee's status and tenure with requirements and consider whether exceptions was warranted. Any shortage in the notice period, even for one day, requires reversal.

7. Was the employee in a duty status during entire notice period? If not, was any leave or leave without pay clearly voluntary?

   NOTE: Involuntary leave or leave without pay does not require reversal of the action; it does require restoration of the employee to a duty status for the entire notice period. If the employee was suspended during the notice period, the suspension should be analyzed as a separate action.

8. Are the reasons stated in specific and detailed terms?

   NOTE: All cases in which the employee claims reasons were not specific enough, or where the employee failed to reply, should be considered as "doubtful." When the answer to this question is negative and/or there is any doubt, a detailed written analysis should be made to show both acceptable and defective points in each of the reasons.

A good method of evaluating such charges is to determine whether it tells you, an innocent party, what you supposedly did, or failed to do to whom; when; there the occurence became known to the issuer of the reasons.

9. Does the notice clearly indicate the employee's right to reply either personally or in writing, or both.

10. Does it afford him the appropriate amount of time to reply?

NOTE: If the employee did reply and if the reply was actually considered, negative answers to these questions would not require reversal. However, if the employee failed to reply, a negative answer to these questions would require reversal. Further, if the employee indicates that his case was jeopardized by inability to reply personally, and the answer to 10 above is negative, reversal would be required. Also, failure to consider a reply as timely when any of these are answered in the negative would constitute grounds for reversal.

11. Does the notice tell the employee where to reply?

NOTE: Failure to inform the employee where to reply is grounds for reversal.

12. Does it afford him a reasonable amount of official time to prepare his answer to the advance notice?

NOTE: The employee, if otherwise in an active duty status, is entitled to a reasonable amount of official time to prepare his answer to the notice, including reviewing the material relied on by the agency to support the reasons in the notice.

13. Does it inform him that the material on which the notice of proposed adverse action is based, and which is relied on by the agency to support the reasons in that notice, must be made available to the employee for his review?

EMPLOYEE'S REPLY TO PROPOSED ADVERSE ACTION CHECKLIST

1. Did the employee reply in writing, personally? When?

   NOTE: Lateness of reply, so long as it was received before the notice of decision was dispatched, would not serve as a basis for refusing to consider it.

2. Did the employee ask for an extension of time in which to reply?

3. If an extension was requested, was it granted?

4. If a request for extension was not granted, was there a valid reason for denial of the request?

   NOTE: In any case where an employee's request for an extension of time is denied, it creates the possibility that the employee's rights have been jeopardized by inability to present the best possible defense. However, where a request for extension was obviously based upon frivolous reasons, or upon the employee's failure to pursue his defense vigorously, reversal is not required. On the other hand, where the employee's request was based upon a reasonable explanation of circumstances that would impair his ability to reply, then denial of the request for extension usually constitutes error which normally requires reversal.

5. Was the employee denied an opportunity to make a personal reply to person named to receive such reply?

   NOTE: It is not necessary that the employee be permitted to make his personal reply to someone he selects, e.g., the Commander. It is required that he be permitted to make a personal reply to the person named in the letter of reasons to receive such replies. The employee is entitled to make a personal reply in addition to a written reply. A denial of such opportunity requires reversal.

6. Was the employee denied an opportunity to make a personal reply because he mistakenly asked for a hearing on his case?

   NOTE: When an employee ask for a hearing, the record should show that the difference between a personal reply and a hearing was explained to the employee, and that the employee was given an opportunity to substitute a personal reply for the hearing which he requested. The absence of such explanation may constitute grounds for reversal; however, no action should be taken until the responsible official has had an opportunity to provide information on any explanation that was given.

7. Has a summary of the personal reply been made part of the record?

8. Does the record reflect that the employee's reply was actually considered?

NOTE: In no case can a determination that a reply was considered be made solely on the basis of a statement in the decision which says in effect, "after consideration of your reply." There must be a review behind such a statement. In most cases, the presence of or absence of real consideration can be determined from a review of internal memos or other correspondence which lead up to the decision and a careful review of the decision in terms of the reasons and the reply. However, there will be cases where the extent of consideration can be determined only by a review of the total record. Any clear-cut showing that reply did not receive consideration, will result in a reversal.

LETTER OF FINAL DECISION CHECKLIST

1. When was the decision received by the employee? What evidence?

2. Was this prior to the effective date of the action?

   NOTE: If answer to question 2 is negative, the action would be reversed.

3. Does the decision clearly indicate that the employee's reply, if any, was considered in relation to each reason?

   NOTE: It is not enough merely to state "after careful consideration of your reply." The decision must reflect an analysis of the reply as it is related to each of the reasons.

4. Does the decision clearly indicate those reasons which are being relied upon for the action?

   NOTE: Only those reasons that are used as the basis for decision can be considered in determining whether the action is to be sustained. Any reason which was made, but not referred to in the decision as a part of the basis for action must be dropped from consideration. In those cases where the notice of decision fails specifically to rely on any reason, then reversal is in order.

5. Does the decision introduce reasons for the action which were not included in the original reasons?

   NOTE: Including in the decision any new reason not in the original reasons--no matter how minor or how general--as a basis for the action, requires reversal of the action.

6. Does the action decided upon come within the terms of the original notice?

   NOTE: The action finally decided upon cannot be more drastic than originally proposed. If it is, the action must be reversed.

7. Is there a reasonable relationship between the penalty imposed by the decision letter, the reasons sustained by the decision letter, and the range of penalties provided in rules and regulations?

   NOTE: Any evidence that the penalty is overly harsh, is inconsistent with other penalties for similar offenses, or is inconsistent as between the proposal and the decision letter, should be scrutinized carefully. It is far reversed if it is appealed.

8. Is the effective date set not less than 30 days after receipt of proposal by the employee?

9. Is specific information as the employee rights of appeal and time limits for such appeal included in the decision?

"ON EMPLOYEE APPEALS FROM ADVERSE ACTIONS"
Reprinted from Fed Facts #1

As the employer of more than 2.7 million people, the Federal Government has made a continuing effort to maintain a personnel system which balances the interests of employees, the agencies who employ them, and the public whom they serve. As a Federal employee, you have an obligation to do your job courteously, honestly and efficiently; by the same token, the Government has an obligation to protect you from unfair or arbitrary treatment.

Although the overwhelming majority of relationships between employees and their supervisors are satisfactory ones, it would be unrealistic to assume that there are not times when serious disciplinary actions are taken against employees. For those cases, the Government has long had a policy and procedures to protect employees' rights to defend themselves against arbitrary adverse actions and to appeal decisions they feel are unfair.

In 1974, after an extensive study of these procedures, which had been criticized for being too slow and too complicated, the Civil Service Commission replaced the old system with an improve system administered by the Federal Employee Appeals Authority. The new procedures provide a one-level appeals system aimed at providing a fast, fair resolution of adverse action cases.

This pamphlet will give you an overall picture of your rights if an adverse personnel action should be taken against you, provided that--

(1) You are a Federal employee and have completed your one-year probationary or trial period in the competitive service, or

(2) You are a Federal employee entitled to veteran preference and have completed one year of current continuous employment in a position outside the competitive service.

ADVERSE ACTION BY THE AGENCY

If your agency is considering serious adverse action against you--for example, removal from your job, suspension for more than 30 days, or reduction in rank or in pay--you must be given at least 30 days' notice in writing before the action can be taken. The notice must state specifically, in detail, why such action is being considered, and all materials used to support those reasons must be made available to you for your review.

You are entitled to a reasonable amount of official time to answer the notice, in writing or in person--or both--to an official who has the authority to make a recommendation or final decision in the matter. Your answer, including any affidavits or other evidence you submit, must be considered before any adverse action is taken.

At this point, the deciding official--who must be at a higher level than the one who originally proposed action against you--can recommend that the action be withdrawn or that the agency proceed. If the decision is to proceed, you will receive a notice stating the action and its effective date, and telling you which of the reasons given in the notice of proposed adverse action have been sustained and which have not. You will be notified of your right to appeal from the adverse action and of the time limit for filing an appeal.

APPEAL TO THE CIVIL SERVICE COMMISSION

After receiving notice of decision to take adverse action, you may appeal to the Federal Employee Appeals Authority (FEAA), an independent organization within the Civil Service Commission. Although you are not required to have a hearing in connection with your appeal, you would be entitled to a hearing if you are appealing from a removal, a suspension for more than 30 days, or a demotion. You may represent yourself or have the help of a representative of your own choice--a lawyer, a member of a labor union or veterans' organization, a co-worker, or anyone you choose who is willing to serve. Filing an appeal will not postpone the effective date of the adverse action, and you are responsible for any expenses involved in preparing your appeal. The FEAA will obtain the evidence your agency relied on when it brought the adverse action and you will be given a chance to review that evidence.

If a hearing is held in your case, it will be conducted by a qualified officer employed by the Federal Employee Appeals Authority. You will have a chance to request the presence of witnesses who testify at the hearing. Your agency must make available, without loss of pay, those of its employees who are called to testify by the official responsible for conducting the hearing; if a witness whose presence is important to a fair hearing cannot appear, the hearing may be suspended until that witness can appear. Anyone who testifies for you will be protected from coercion or reprisal.

The hearing procedures are informal. Legal rules of evidence are not followed strictly, but irrelevant or overly repetitious testimony will be excluded. A word-for-word record of the proceedings will be made and you will be given a copy.

The Federal Employee Appeals Authority will issue a decision in your case, making findings and requiring corrective action by your agency when it is found to be appropriate. This decision is final, except for cases subsequently reopened by the Appeals Review Board. You may go to court after you decline the Appeals Authority's decision.

ROLE OF THE APPEALS REVIEW BOARD

You or your agency may request a reopening of your case by the Appeals Review Board, an office of the Civil Service Commission, which is located in Washington, D.C. The bases for review, however, are limited. The Appeals Review Board will reopen and reconsider a case only when it is shown, in writing, (1) that there is new and material evidence not available previously, (2) that the decision contains an erroneous interpretation of law or misapplication of established policy, or (3) that new or unsettled policy questions are involved.

Beyond that point, the Civil Service Commissioners, at their discretion, may reopen and reconsider any decision of the Appeals Review Board when it is shown that new or unsettled questions of policy of an exceptional nature are involved.

A WORD OF CAUTION

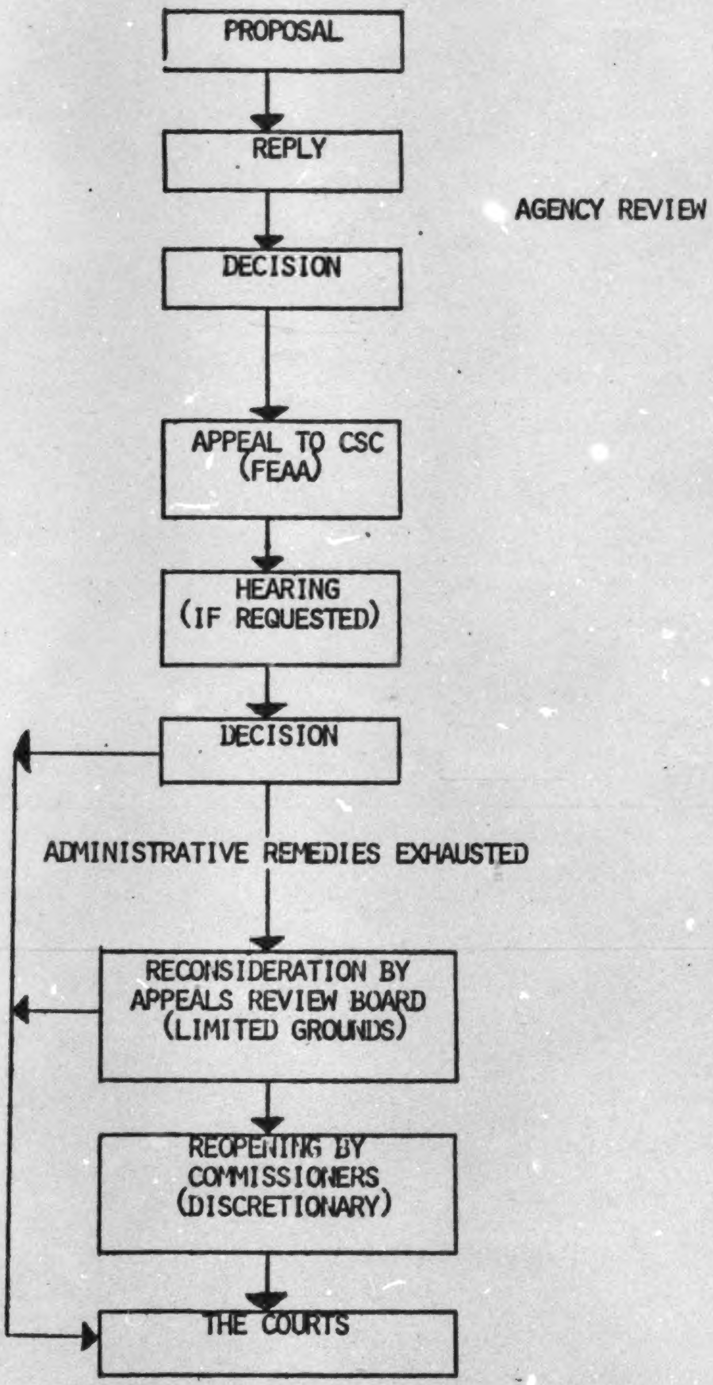
Your appeal rights depend on the type of appointment you hold and the amount of service you have had. If in a competitive appointment, you must have completed a one-year probationary period. If in the excepted service, you must have veteran preference and one year of current continuous service in the same position, or in the same line of work.

For example, an employee who is separated for unsatisfactory performance or conduct while serving a probationary period has no appeal rights unless certain types of discrimination are alleged. Further, an employee who is suspended for 30 days or less may not appeal the action to the Civil Service Commission. He or she may, however, file a grievance or request the Commission to review the agency's compliance with the grievance procedures.

POSTSCRIPT

The steps described in this pamphlet are those used for dealing with removals, suspensions for more than 30 days, reductions in rank or pay, and furloughs without pay. In addition, there are procedures which agencies must follow in taking other actions adverse to an employee. You can find out about those procedures, in addition to detailed information on appeals from adverse actions, by seeing your agency personnel officer or by contacting the nearest office of the Civil Service Commission.

ADVERSE ACTION APPEAL SYSTEM


PROPOSAL
REPLY
AGENCY REVIEW
DECISION
APPEAL TO CSC (FEAA)
HEARING (IF REQUESTED)
DECISION
ADMINISTRATIVE REMEDIES EXHAUSTED
RECONSIDERATION BY APPEALS REVIEW BOARD (LIMITED GROUNDS)
REOPENING BY COMMISSIONERS (DISCRETIONARY)
THE COURTS

GRIEVANCES AND OTHER APPEAL SYSTEMS

Reference: FPM Chapter 771

Definition: A request by an employee, or by a group of employees acting as individuals, for personnel relief in a matter of concern or dissatisfaction which is subject to the control of agency management.

Each agency must have own grievance procedure. FOR FULL DETAILS, REVIEW YOUR AGENCY'S GRIEVANCE PROCEDURES.

Main Steps:

- 15 days to grieve
- Attempt at Informal resolution with supervisor or other "offending" official
- If resolution is not attained, then may file Formal grievance
- CSC guidance: 90 days from informal to final agency decision
- Formal grievance processed by level higher than supervisor or other "offending" official
- No "appeal" of final agency decisions
- CSC has no jurisdiction except where a procedural error or a violation of the law, rules or regulations has been made by the agency, but not on merit.

Coverage: As a general rule, actions which are not appealable to the CSC are handled by the agency grievance system.

Examples of typical grievances are:

1. Involuntary assignment or not getting a desirable assignment.
2. Accuracy of position description (series, title, grade not at issue).
3. Reprimands.
4. Performance Appraisals (especially narrative comments).
5. Supervisory style and practices.
6. Getting or not getting training or overtime.
7. Working conditions.

Matters Not Covered (OTHER APPEAL SYSTEMS) (See next page)

Subchapter 3. Grievance System

3-2. GRIEVANCE COVERAGE

a. Matters covered. Except as provided in paragraphs b and c of this section, the agency grievance system must cover any matter of concern or dissatisfaction to an employee if the matter is subject to the control of agency management.

b. Matters not covered. The agency grievance system must not cover the following:

(1) Any matter which is subject to final administrative review outside the agency under law or the regulations of the Commission. These matters include:

- (a) A violation of reemployment priority rights appealable under part 330.
- (b) A reduction-in-force action appealable under part 351.
- (c) A violation of reemployment or reinstatement rights appealable under part 352.
- (d) A violation of military restoration rights appealable under part 353.
- (e) A performance rating appealable under part 430.
- (f) A position classification decision appealable under part 511.
- (g) A level of competence decision appealable under part 531.
- (h) A salary retention decision appealable under part 531.
- (i) A job-grading decision appealable under part 532.
- (j) An allegation or complaint of discrimination reviewable under part 713.
- (k) An adverse action for political activity appealable under part 733.
- (l) An adverse action appealable under subpart B of part 752.
- (m) A fitness-for-duty examination decision reviewable under part 831.
- (n) A health benefits decision appealable under part 890.

(2) The content of published agency policy.

(3) Nonselection for promotion from a group of properly ranked and certified candidates.

(4) A grievance →over the interpretation or application of an agreement negotiated under section 11 of Executive Order 11491, as amended.←

(5) An action terminating a temporary promotion within a maximum period of two years and returning the employee to the position from which he was temporarily promoted or reassigning or demoting him to a different position that is not at a lower grade or level than the position from which he was temporarily promoted.

(6) Nonadoption of a suggestion or disapproval of a quality salary increase, performance award, or other kind of honorary or discretionary award.

(7) A preliminary warning or notice of a specific action which, if effected, would be covered under the grievance system (e.g., a notice of a proposed reprimand) or would be excluded from coverage under this section (e.g., an advance warning of an unsatisfactory performance rating). However, a general warning that some (unspecified) disciplinary action may be taken if certain deficiencies are not corrected would be covered.

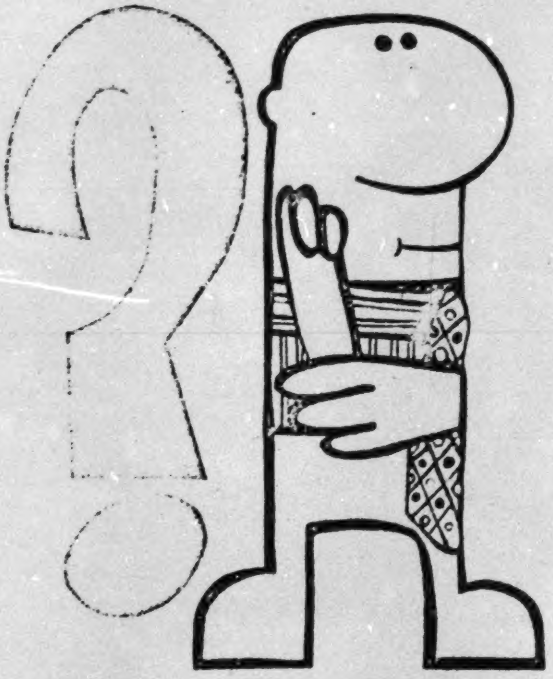
c. Separation actions. The regulations do not require coverage of any separation action. However, an agency may extend the coverage of its grievance system to any aspect of a separation action that is not subject to final administrative review outside the agency under law or the regulations of the Commission.

"ON REDUCTIONS IN FORCE IN FEDERAL AGENCIES"

Reprinted from Fed Facts 13

Because of changes in program, lack of funds, reorganization, decrease in work, or in the necessity to place a returning employee with reemployment rights, a Federal agency may have to lay off, furlough for more than 30 days, reassign, or demote employees. Standard reduction-in-force procedures are set up by the Reduction-in-Force Regulations so that such actions may be carried out in a fair and orderly way.

Under this system employees compete for retention on the basis of four factors specified by law (5 U.S.C. 3502). These four factors are type of appointment (tenure), veteran preference, total length of civilian and creditable military service, and performance ratings. The general rule is that veterans with "Satisfactory" performance ratings are given higher retention standing than nonveterans, but another provision of law (5 U.S.C. 3501) withholds veteran preference from certain retired members of the uniformed services in reduction in force and limits their credit for military service.



HOW THE SYSTEM OPERATES

Reduction in force does not begin or end with the layoff notices to employees. The agency must:

1. Decide the jobs to be affected. The agency decision to abolish one kind of job instead of another is not subject to review by the Civil Service Commission.

2. Determine, according to an equitable formula, which employees will lose their jobs or change jobs.

3. Determine whether employees about to lose their own jobs have rights to other positions.

4. Issue notices to the affected employees at least 30 days before the reduction is scheduled to take place.

5. Help career and career-conditional employees who are, or will be, displaced find other jobs. The Civil Service Commission will cooperate in this effort through the programs described on Panel 6.

(Reduction in force of persons holding excepted positions--jobs for which the Civil Service Commission does not conduct open, competitive examinations--is discussed separately on panel 7.)

DECIDING WHICH EMPLOYEES LOSE OR CHANGE JOBS

COMPETITIVE AREA. - First the agency fixes the competitive area (the geographical and organizational limits within which employees will compete for retention). A stenographer in one city, for example, would not ordinarily compete with a stenographer in another city. Each competitive area usually consists of a single office or installation in the field service, or a bureau or similar organization at headquarters.

COMPETITIVE LEVEL. - Next the agency groups positions by competitive level (by type and grade of work). An accountant, for example, would not compete with a stenographer, since they cannot ordinarily do each other's job. Instead, similar jobs at the same level--jobs that are interchangeable--are grouped together in a competitive level to show clearly which employees are in competition: GS-3 stenographers are listed with other GS-3 stenographers, GS-2 typists with other GS-2 typists, etc.

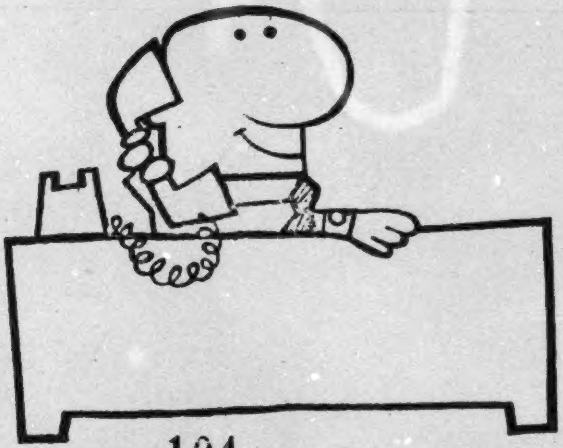
RETENTION REGISTERS. - At this point the formula combining the four factors--type of appointment (tenure), veteran preference, length of service, and performance rating--comes into play.

Employees in the kinds of jobs to be affected (for example, GS-3 stenographers) are ranked on a retention register in three groups according to type of appointment (tenure):

Group I - Career employees who are not serving probation and who do not occupy positions reserved for employees who have reemployment rights as a result of military service or transfer.

Group II - Career employees who are serving probationary periods, career employees serving in positions reserved because of military service or transfer, and career-conditional employees.

Group III - Indefinite employees, term employees, status quo employees, and employees serving under temporary appointments pending establishment of registers.



Each of these groups is divided into two subgroups-- A for veterans and B for nonveterans.

Three types of employees are not placed in groups and subgroups but are listed apart from the retention register: (1) employees with temporary appointments limited to a year or less, (2) employees with temporary promotions to the positions affected, and (3) employees with "Unsatisfactory" performance ratings. They do not compete for retention in the competitive level. They must be released from the level before any employee in Group I, II, or III is released. The release of an employee with a temporary promotion would be accomplished in a normal situation by returning him to his regular job.

Within each subgroup employees are ranked by "service dates" which reflect their total Federal service (civilian and creditable military). An employee with a current "Outstanding" performance rating receives 4 additional years of service credit.

Selection of employees to be released from the competitive level begins at the bottom of the retention register, that is, with the employee in the lowest subgroup who has the latest service date. Using the example of GS-3 stenographers, Group III stenographers are released first, then Group II then Group I. Nonveterans are released before veterans in each group.

Employees cannot be released from their competitive levels by separation, furlough, or demotion out of normal retention-register order except under certain specified conditions. Persons to be released out of regular order must be notified of the reasons and of their right to appeal the action to the Commission.

DETERMINING WHETHER AFFECTED EMPLOYEES HAVE RIGHTS TO OTHER POSITIONS

An employee in Group III has no right to another job. When he is reached for layoff, he can be separated.

When an employee in Group I or Group II is released from his own job he is entitled to a reasonable offer of assignment if the agency has a suitable job from which he can displace the incumbent by bumping or retreat. A suitable job is a job of the same or lower grade in the same competitive area for which the employee is fully qualified and able to do the work without undue interruption to it. He can bump if the job is occupied by an employee in a lower subgroup. He can retreat if he was promoted from the job or one like it and it is occupied by an employee with a later service date in the same subgroup. The agency is required only to make a reasonable offer of assignment--not necessarily the job the employee would prefer to have.

An offer of assignment is reasonable if there is no reduction in grade, or if it makes the least reduction that can be made under the regulations. Example: A career GS-4 stenographer is surplus in her job. There are no jobs for which she qualifies held by lower-ranking employees at the GS-4 level. However, there are career-conditional employees holding GS-3 clerk-typist jobs for which she qualifies. The agency must offer her one of these jobs unless it can offer her some other GS-3 job.

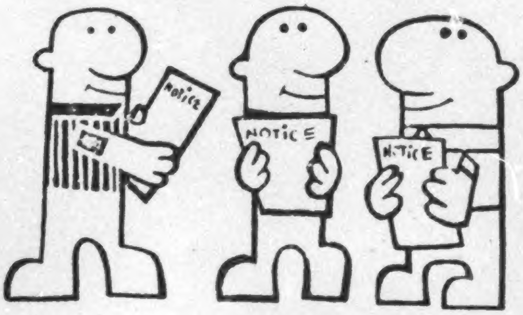
In changes between different grading systems, the reasonableness of an offer is determined by comparing designated pay rates for the jobs involved.

If there is no job to which the employee has a right, the agency may separate him. If he declines a reasonable offer, the agency is not required to make a second offer and may separate him.

The agency determines the qualifications of its employees and the jobs to which they can be assigned, but the employee is entitled to check on his rights by examining the retention registers and other records.

ISSUING NOTICES

An employee may receive first a general notice that some action must be taken to reduce force and that he is likely to be involved, and later receive a specific notice. Or he may receive only the specific notice of the impending action, with the effective date.



The agency must issue to affected employees its first notice (whether general or specific) at least 30 days before the date set for final action. If the first notice is a general notice, the specific notice must reach the employee at least 5 days before the date set for action.

HELPING CAREER AND CAREER-CONDITIONAL EMPLOYEES FIND OTHER GOVERNMENT JOBS

Efforts to help find another Government job for a Group I or Group II employee who is to be separated by reduction in force begins as soon as he is given a notice and the agency knows that he will be displaced.

DISPLACEMENT IN COMMUTING AREA. Before a Group I employee is separated, his agency must survey the positions held by Group III employees in all its installations or bureaus in the same locality (the commuting area) to see whether there is a job for which he is qualified. If the agency finds such a job, it must separate the Group III employee to make room for the Group I employee.

AGENCY REEMPLOYMENT PRIORITY LIST. Unless an employee has refused an offer at his present grade and salary, his name goes on the reemployment priority list. A Group I employee goes on the list for 2 years and a Group II for one year. During that time the agency must consider him for any vacancies in the commuting area for which he can qualify unless he is reemployed in a permanent position in the competitive service or otherwise loses his eligibility for appointment.

DISPLACED EMPLOYEE PROGRAM. In addition, the Group I or Group II employee may obtain special consideration for employment by applying under the Displaced Employee Program of the Civil Service Commission. To receive this consideration, the employee applies through his agency, preferably before he is separated, but not more than 90 days after he is separated. Placement assistance under the program ceases when an employee is reemployed in a permanent position in the competitive service or otherwise loses his eligibility.

REDUCTION-IN-FORCE APPEALS

One of the reasons for having a uniform system for reduction in force is to make sure that employees are treated fairly and in accordance with their rights. This means that the system must be administered carefully and properly by the agency. Employees are given the right to appeal in writing to the Civil Service Commission if they believe the reduction-in-force regulations have not been applied correctly in their cases. An employee may appeal at any time from the date of the specific notice to 15 calendar days after the actual layoff or job change.

An appeal should give reasons why the employee believes the agency action was improper, such as --

Failure to make a reasonable offer of assignment.
Failure to grant the employee veteran-preference rights.
Error in determining the employee's tenure group or length of service.
Error in the order of selection for action.

When the Civil Service Commission disapproves a reduction-in-force action as the result of an appeal, the agency is required to restore the employee to his job or to the job to which he should have been assigned. Generally, the agency is also required to pay the employee any salary lost because of the improper action.

REDUCTION IN FORCE IN "EXCEPTED POSITIONS

Persons in "excepted" positions do not compete with persons in competitive positions. Nor do they have reassignment rights. However, an employee with competitive status who is to be separated by reduction in force from an excepted job may apply for special consideration under the Displaced Employee Program of the Civil Service Commission.

In reductions, employees in excepted positions are ranked as follows:

Group I - Employees serving with no conditions or restrictions upon their tenure.

Group II - Employees who are serving probationary or trial periods; or who are conditional solely because they occupy positions to which absent employees have a claim; or whose tenure is equivalent to a career-conditional appointment in the competitive service.

Group III - Employees serving in indefinite or nonlimited temporary appointments, and employees serving under temporary limited appointments who have completed 1 year of current continuous employment.

Each group is divided into two subgroups -- A for veterans and B for nonveterans. Employees are released from their competitive levels in the same order as in the competitive service. "Unsatisfactories," employees serving under temporary promotion, and strictly temporary employees are listed apart from the retention register and are released from the competitive level before any other employee.

TRANSFER OF FUNCTION

In a transfer of function, all Group I, II, and III employees who become surplus to the needs of the losing agency have a right to transfer with the function before any necessary reduction in force. If no reduction in force is necessary, the gaining agency picks up the surplus employees who are willing to transfer. If the transfer of function causes a reduction in force in the gaining agency, employees who are willing to transfer compete under the reduction-in-force regulations for retention in the gaining agency. In any case, the employees who refuse to transfer with the function are subject to separation by the losing agency.

As far as possible, an employee who cannot be retained in the losing agency is selected for transfer with the function if a major part of his time is spent on it or if his grade-controlling duties go with the function. When this method does not identify enough employees to relieve the surplus in the losing agency, volunteers may be accepted for transfer. Then, if there is still a surplus, employees are identified to transfer in the inverse order of retention standing--that is, the same as the order of layoff in reduction in force.

LABOR RELATIONS DISCUSSION QUIZ

1. About 85% of wage grade employees, half of the General Schedule, and 90% of Postal Service employees are represented by unions, and roughly half of these are actually union members.
TRUE FALSE

2. The only serious union activity in the Federal government is in the Post Office.
TRUE FALSE

3. Unions usually appear for the reason that employees feel unions can help them.
TRUE FALSE

4. Federal labor relations policy is determined by the National Labor Relations Act of 1937 (also known as the Wagner Act).
TRUE FALSE

5. Supervisors may join a union but may not participate in them in a decision-making capacity.
TRUE FALSE

6. Management has the final say when negotiations reach an impasse.
TRUE FALSE

7. Developing management policy toward unions is an exercise in futility until the union appears on the scene.
TRUE FALSE

8. As in the private sector, Federal management has the right to openly oppose union recruitment efforts as long as they do not coerce or interfere with employee rights.
TRUE FALSE

9. A union can win an election if a majority of those voting vote for it.
TRUE FALSE

10. A first-line supervisor as a member of the negotiation team can contribute specific facts on conditions at the workplace and counter union contentions that management is un-informed about working conditions.
TRUE FALSE

11. When negotiating an agreement, a grievance procedure applying to the other items in the agreement must be negotiated.
TRUE FALSE

12. Arbitration of grievances can never be binding upon management in the federal service.
TRUE FALSE

SOURCES AND TECHNIQUES OF TRAINING AND CAREER DEVELOPMENT

1. Cources offered at local schools and colleges
2. Correspondence courses
3. Reading lists
4. Technical and trade association membership and meetings
5. Local groups such as Toastmasters Clubs or local chapters of professional societies
6. Seminars, workshops, courses offered by Civil Serivce Commission, Department of Agriculture Graduate School, and in-house educational facilities
7. Civic organizations
8. Community activities
9. Faculty visitations
10. Employee clubs
11. Additional assignments in present position
12. Day-by-day coaching
13. Use of special resource personnel (consultants)
14. New challenges by rotating jobs
15. Job enlargement and job enrichment
16. Attendance at staff meetings
17. Special projects
18. Films

TRAINING AND CAREER DEVELOPMENT ADMINISTRATION QUESTIONS

1. Who has the basic responsibility for training and development?
   a. personnel officers
   b. training officers
   c. employees
   d. instructors
   e. supervisors
   f. Civil Service Commission

2. Regulations require that training be applicable only to the employee's current official duties. No training can be given, therefore, for any projected future assignments. TRUE FALSE

3. It is possible for an employee to use the agency grievance procedures if he feels permission to attend training has been unjustly denied. TRUE FALSE

4. It is not possible to use agency grievance procedures if the employee feels he should not have to go to training to which he is assigned. TRUE FALSE

5. There can be no appeal to the Civil Serivce Commission form an agency's determination on a training grievance. TRUE FALSE

6. When training is given primarily to prepare employees for advancement and is required for promotion (that is, an employee is not eligible for promotion unless he has completed the training), selection for the training is made under the competitive promotion procedures. TURE FALSE

7. Non-government training for the purpose of filling a position by promotion is not permitted if there is in the department concerned another employee of equal ability and suitability who is fully qualified to fill such a position. TRUE FALSE

8. Can a newly-hired employee, one with less than one year of current continuous civilian service, be given non-government training. YES NO

9. Considered as its primary purpose, an employee can get an education that leads to an academic degree under the Government Employees Training Act (1958)? TRUE FALSE

10. When selecting people for training courses, how can you get best results for the training dollar?
    a. select people who are willing and able to attend
    b. select people who will use the skill or knowledge or their present or future job
    c. select people on the basis of a specific, identifiable management need for training (like the installation of a new computer)
    d. all the above

TRAINING AND CAREER DEVELOPMENT ADMINISTRATION QUESTIONS

11. While agencies are not permitted to train employees in techniques for passing a specific test, training in general test taking principles and practices is permitted. TRUE FALSE

12. Courses in basic skills such as typing, stenography, or English may not be provided for employees. TRUE FALSE

13. Normal working hours can be readjusted to permit employees to take courses at their own expense. TRUE FALSE

14. Agencies are authorized (but not required) to pay all or in part of the necessary expenses of training, such as: travel, per diem; tuition; library and lab fees; books; materials and supplies; and mileage allowances; and parking fees. TRUE FALSE

15. Employees must sign an agreement to continue in the employ of the agency for at least three times the length of training which exceeds 80 hours for a single program. TRUE FALSE

16. An agency may not receive more than one year of training through non-government facilities in each 10 year period of civilian service. TRUE FALSE

17. Learning includes acquisition of knowledge and skills, but does not encompass attitudes, beliefs, habits. TRUE FALSE

TRAINING AND CAREER DEVELOPMENT INCIDENTS

1. BETTY SMITH, Senior Files Clerk, GS-4, asks for help from the personnel office in becoming a Computer Specialist. Her supervisor has told her that the agency does not have any opportunities, present or planned, in this field. What should you consider doing?

2. FRED SANFORDS, Technical Writer, GS-9, was passed over for promotion twice. He comes to the personnel office to find out what is going on and why. What should you consider doing?

3. TERESA GARCIA, Secretary, GS-5, wishes to attend an Advanced Secretarial Techniques Course. You know Teresa has had 2½ years of college with about an A average before coming to work for the agency. She dropped out for financial reasons. After explaining the availability of free college courses, Teresa still prefers on going only to the secretarial course. What should you consider doing?

4. BETTY ECSTIEN is presently employed as a Clerk-Typist, GS-3. Her career goal is a secretarial position. She wants to enroll immediately in a shorthand course. Her performance ratings indicate that her typing skills are poor. What should you consider doing?

TRAINING AND CAREER DEVELOPMENT POLICY ISSUES

1. To what extent should the training and career development function be concerned with the interests of management versus the interests of individual employees. For example, should management provide training opportunities and funds solely for its mission priority programs? Would this lead to training for a selected few fortunate enough to be in the right spot? On what basis could training in non-priority programs be justified? Should development activities then be directed toward the "general improvement" of the total work force?
WHAT WOULD YOU RECOMMEND TO MANAGEMENT?

2. Should career planning and career counseling be done by supervisors, or by the personnel office or both? If both, how would this function be divided to prevent overlap and duplication? Identify and discuss the advantages and limitations of each approach.

3. Should employees be committed to long-range career plans (immediately upon entering the Federal service or shortly thereafter), or should they be permitted some opportunity for career exploration? Identify advantages and limitations in administering each approach?
WHAT WOULD YOU RECOMMEND TO MANAGEMENT?

TRAINING AND DEVELOPMENT REVIEW

1. WHAT IS THE PURPOSE OF TRAINING AND EMPLOYEE DEVELOPMENT?
To realize a change in skill, knowledge, or ability.

2. WHAT FPM CHAPTER DISCUSSES TRAINING AND DEVELOPMENT?
Chapter 410.

3. LIST FOUR TYPES OF TRAINING.
In-house (internal)
Interagency (government)
Non-Government (colleges, IBM, etc.)
OJT

4. WHAT IS GETA?
Government Employees Training Act of 1958.

5. TRAINING IS THE PANACEA OF AGENCY PROBLEMS.
False.

6. ARE FIRST LEVEL SUPERVISORS REQUIRED TO HAVE A MINIMUM AMOUNT OF FORMAL INSTRUCTION?
Yes. 80 hours within 2 years; 40 hours either before appointment or within 6 months of appointment. (Ref: 410-A-2c(3)

7. WHEN TRAINING FUNDS ARE TO BE RECOVERED FROM AN EMPLOYEE, CAN THE MONEY SPENT FOR HIS PAY ALSO BE RECOVERED?
No. (Ref: 410-5-7c)

8. CAN AN AGENCY PAY THE SALARY AS WELL AS TUITION TO AN EMPLOYEE WHILE HE IS ASSIGNED TO ACADEMIC TRAINING WHICH IS PART OF A COOPERATIVE EDUCATION PROGRAM?
Yes. (Ref: 410-5-4c(3)

9. CAN AN EMPLOYEE BE REQUIRED TO PAY BACK EXPENSES INCURRED BY THE GOVERNMENT FOR HIS TRAINING IN NONGOVERNMENTS FACILITIES IF HE MOVES TO A DIFFERENT BUREAU WITHIN HIS AGENCY BEFORE HIS PERIOD OF OBLIGATED SERVICE HAS ENDED?
No. (Ref: 410-5-6)

10. DOES THE LAW LIMIT AN AGENCY ON THE AMOUNT OF TRAINING THROUGH NON-GOVERNMENT FACILITIES IT CAN PROVIDE IN THE AGGREGATE TO ITS EMPLOYEES?
Yes. It may not exceed 1% of the total many years of civilian employment in the agency during the year. (Ref: 410-5-4a)

11. ON WHOM IS THE SPECIFIC RESPONSIBILITY FOR TRAINING IN THE FEDERAL GOVERNMENT PLACED?
The head of the agency. (Ref: 410-1-3a)

12. ARE AGENCIES REQUIRED TO GIVE GOVERNMENT FACILITIES PRIORITY OVER NONGOVERNMENT FACILITIES FOR TRAINING?
Yes. (Ref: 410-5-1b)

13. CAN AN EMPLOYEE BE TRAINED THROUGH A NONGOVERNMENT FACILITY TO FILL A POSITION BY PROMOTION IF ANOTHER EMPLOYEE OF EQUAL ABILITY AND SUITABILITY WHO IS FULLY QUALIFIED IS AVAILABLE FOR THE POSITION?
No. (Ref: 410-5-2a)

14. CAN AN EMPLOYEE BE ASSIGNED TO A PROGRAM OF TRAINING IN NONGOVERNMENT FACILITIES THAT WOULD RESULT IN A DEGREE?
If the degree is a byproduct, yes. (Ref: 410-5-2e)

15. CAN AN EMPLOYEE BE ELIGIBLE FOR TRAINING IN A NONGOVERNMENT FACILITY IF HE HAS LESS THAN ONE YEAR OF CURRENT CONTINOUS CIVILIAN SERVICE?
Conditionally, yes. (Ref: 410-5-4b)

16. WHO IS RESPONSIBLE FOR ISSUING REGULATIONS BEARING UPON THE FUNDING OF TRAINING UNDER THE LAW?
OMB. (Ref: 410-1-7)

17. IF AN EMPLOYEE FAILS TO GIVE TEN WORKDAYS ADVANCE NOTICE AND ENTERS THE SERVICE OF ANOTHER AGENCY WHILE UNDER A CONTINUED SERVICE AGREEMENT, CAN HE BE BILLED FOR THE EXPENSES FOR HIS TRAINING BORNE BY THE GOVERNMENT?
Yes. (Ref: 410-5-6a5)

18. CAN AN EMPLOYEE BE GIVEN MORE THAN ONE YEAR OF TRAINING THROUGH NONGOVERNMENT FACILITIES IF HE HAS LESS THAN TEN YEARS OF CIVILIAN SERVICE IN THE GOVERNMENT?
No, unless waived. (Ref: 410-4c)

19. CAN AN EMPLOYEE BE PAID FOR TRANSPORTATION OF DEPENDENTS AND HOUSEHOLD EFFECTS TO THE PLACE OF TRAINING AND ALSO RECEIVE PER DIEM ALLOWANCE PAYMENTS WHILE IN TRAINING?
No. Either, not both. (Ref: 410-6-3e)

20. WHAT IS THE MINIMUM TIME AN EMPLOYEE MUST AGREE TO CONTINUE TO CONTINUE INSERVICE FOLLOWING EXTENDED TRAINING WHERE SUCH CONTINUED SERVICE IS REQUIRED?
Three times the length of training. (Ref: 410-6-b-(1)

21. HOW OFTEN IS AN AGENCY REQUIRED TO CONDUCT A TRAINING NEEDS SURVEY?
At least annually. (ref: 410-2-3)

22. REGULATIONS REQUIRE THAT TRAINING BE APPLICABLE ONLY TO THE EMPLOYEE'S CURRENT OFFICIAL DUTIES. NO TRAINING CAN BE GIVEN, THEREFORE, FOR ANY PROJECTED FUTURE ASSIGNMENTS. (Ref: 410-3-1c(1)
False.

23. IS IT POSSIBLE FOR A PERSON TO USE THE AGENCY'S GRIEVANCE PROCEDURES IF HE FEELS TRAINING HAS BEEN UNJUSTLY DENIED?
Yes. (Ref: 771-3-a.a)

24. THERE CAN BE NO APPEAL TO CSC FROM AN AGENCY'S DETERMINATION ON A TRAINING GRIEVANCE. (Ref: 771-2-2 --Not an Adverse Action)
True.

25. COURSES IN BASIC SKILLS SUCH AS TYPING, STENOGRAPHY, AND ENGLISH MAY NOT BE PROVIDED EMPLOYEES. (Ref: 410-3-a.e (2)(3)
False.

26. NORMAL WORKING HOURS CAN BE READJUSTED TO PERMIT EMPLOYEES TO TAKE COURSES AT THEIR OWN EXPENSE. (REF: 410-3-5.b(3)(a)
True.

SCIENTIFIC MANAGEMENT

BASIC APPROACH
In the 1900s Frederick Taylor designed and installed wage incentive plans based on the scientific measurement of work (time and motion study principally).

It tried to discover and describe the one best method of performing a task and requiring the worker to use it.

With this accomplished, it would be easier to select, train, and place the right worker in the right job at the right wage which would lead to increased output.

Labor-management conflicts would be reduced since higher income would result from wage incentives for performing carefully designed, simplified, and standardized tasks. Management would benefit by being able to plan, organize, and assign work systematically and efficiently.

VIEW OF THE INDIVIDUAL
The economic concept of man dominated since it was thought man could be motivated by economic gain to perform work well. The incentive could not be too little because income would be insufficeent, and not too much, because the employee might be impelled to cutback hours to make sure there would still be work, or when the strain of producing at high levels over sustained periods became a physical burden.

CASE PROBLEM

A newly formed Health Services Unit was given primary mission to distribute dietary, vitamin, and related food supplememts to clients referred to it by medical, social, welfare, and community groups. This unit inherited five professionals who had been doing similar work elsewhere in the agency, and hired six new ones.

As it developed, the new health service advisors had more relevant experience and education than those who transferred in. Consequently, they soon viewed the assignment as requiring -- a thorough interview and counseling session to understand the "whole individual"; to provide detailed instructions on the purpose, use, dangers of dietary and vitamin supplements; to screen, identify, and refer clients to other organizations as needed, and to maintain a close followup relationship. This approach necessitated a smaller case load where the same advisor usually saw the same client. However, these advisors felt the highly individualized treatment was well worth it.

The inherited professionals serviced the clients routinely, provided a minimum of personalized attention, saw any and all who were sent, and had an increased production rate which took up the slack created by the work approach of the newer professionals.

Management sought a standardized and uniform approach which would include the beneficial aspects of each style - quality service combined with a high productivity rate.

THE HAWTHORNE STUDIES

WHEN AND WHY CONDUCTED
This very famous research study was conducted by the late Elton Mayo and his associates from Harvard University between 1927 and 1932 at the Hawthorne Works of the Western Electric Company in Chicago. Efficiency engineers, experimenting earlier with various methods of illuminating production department work areas, found productivity increased whether lighting was increased, decreased, or stayed the same.

FINDINGS
Mayo concluded that the singling out of certain groups of employees for special attention had the effect of making previously indifferent individuals into cohesive groups with a high degree of group pride. Because of this group identity, the workers were able to maintain, and even increase, production no matter how difficult the working conditions were made. This has been termed the Hawthorne Effect which by now has been observed in an enormous variety of work settings.

WHY DID THIS OCCUR: INFORMAL WORK GROUPS
Mayo found spontaneously formed informal work groups served as a natural defense against the anonymity of factory life. Workers in the same group discovered that poor work drew reprimands and threats, but good work was taken for granted. Common also was a resentment of management. So one group function was to provide a safe form of retaliation through tacit agreements that production standards would not be exceeded. Individuals that did not cooperate were obstracized.

USING EMPLOYEE GROUPS
Mayo believed group productivity could be increased if supervisors were selected and trained who would treat employees as individuals.

CASE PROBLEM

The Administrative Processing Section had assigned to it 8-10 processing technicians. These woekers had been with this unit an average of twelve years and produced an average of 180 processing transactions per employee daily.

Management believed recent revisions in the form and administrative requirements would increase the rate at least one-third, to 240. What actually happened? The rate initially dropped to 160, rose gradually to 230, and then fairly dropped to a regular rate of 170. Newly hired employees, after a short training period, reached as high as 270 for a brief time, and then returned to the unit average of 170. The technicians, when asked, said the changed procedures made the work more difficult and errors, while minimal, could cause greater damage than under the old system.

Management feels it pays well for its work and that the employees in the section should realize this by responding positively to changes in the work procedures which made the job easier to perform.

APPLY THE PRINCIPLES OF THE HAWTHORNE STUDIES IN SOLVING THIS PROBLEM.

THE HIERARCHY OF HUMAN NEEDS

THE THEORY ITSELF

A.H. Maslow postulated a widely acclaimed theory of human nature which states there is a definite rank order priority of human needs. It states that until the basic wants are fulfilled, an individual will not strive to meet higher needs.

INNATE NEEDS (PHYSIOLOGICAL)

Food
Shelter
Water
Comfortable temperatures
Rest
Air
Bodily elimination
Sex
Self-preservation

ACQUIRED NEEDS (HIGHER ONES)

1. Social Needs
    - Companionship
    - Love
    - To be wanted
    - Belongingness
    - Respect of others
    - Security
    - Safety
2. Egoistic Needs
    - Self-significance
    - Self-respect
    - Self-expression
    - Self-accomplishment
    - Independence
    - Freedom

HUMAN BEHAVIOR

Mature personalities adopt a flexible, resourceful, problem-solving form of behavior to meet their needs. However, this behavior is relative. A mature individual in one setting may well display maladjusted behavior in others. This form of unproductive behavior in the face of barriers to need fulfillment is termed a defense mechanism. These include Aggression, Withdrawal, Fixation, and Compromise.

Aggression. A response designed to inflict injury or damage. Adults may use scapegoating, as direct physical violence is taboo and dangerous, where the aggressor attacks substitute objects or people.

Withdrawal. Here a person seeks either physically or mentally to avoid the obstacle or situation, a temporary escape from reality.

Fixation. A compulsion to continue repeatedly behavior that does not result in goal attainment. Often this occurs when it is the only response an individual may know how to make.

Compromise. An individual alters objectives or standards either actually or symbolically. It may involve adopting a substitute goal or giving false reasons for one's conduct.

CASE PROBLEM

The Computer Operations Division employees 90 professionals and technicians. The work requires shift, rotating, holiday, and weekend scheduling. Overtime is almost mandatory on a weekly basis, and is assigned in rotation in a roughly equitable and consistent fashion. Employees when hired are asked to sign a statement that they are aware of, and will accept, these working conditions. However, after 12-18 months employees generally ask for a reduced work-load, reassignments, file grievances, or quit. Usually both quality and quantity of work performed by the individual tends to worsen.

APPLY THE PRINCIPLES OF THE HIERARCHY OF HUMAN NEEDS TO SOLVE THIS PROBLEM.

THEORY X AND THEORY Y

OVERVIEW

Douglas McGregor's work summarizes two basically different management philosophies and styles. He made it clear, however, that either approach may not be suitable, not because one is right or one is wrong, but rather because the circumstances under which organizations operate vary widely. Rensis Likert, another researcher, observed also that short-term gains result form Theory X, while long-term benefits accrue with the use of Theory Y.

THEORY X (TRADITIONAL)

1. The average human being has an inherent dislike of work and will aviod it if at all possible.
2. Because of this dislike of work, most people must be coerced, controlled, directed, threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all.

THEORY Y (MODERN)

1. The expenditure of physical and mental effort in work is as natural as play or rest. The average human being does not inherently dislike work. Depending upon conditions work may be a source of satisfaction (and will be voluntarily performed) or a source of punishment (and will be avoided if possible).
2. External control and threat of punishment are not the only means for bringing about effort toward organizational goals. Man will exercise self-direction and self-control in the service of objectives to which he is committed.
3. The average individual learns, under proper conditions, not only to accept but to seek responsibility. Avoidance of responsibility, lack of ambition, and emphasis on security are the result of experience and are not inherent.
4. The capacity to exercise a fairly high degree of imagination, ingenuity, and creativity in solving problems is widely distributed through the population. Under the conditions of modern organizational life, the intellectual potentialities of the average human being are only partially used.

CASE PROBLEM

Top management of an old-line conservative organization, which operates by Theory X principles for the most part, asked the Training Branch to arrange for Theory Y training for all supervisors and managers, both new and experienceed. Evaluation of the first three sessions show the Theory Y concept either was (1) not accepted by the supervisors, or (2) if used, the employees reacted negatively and distrustively, with a consequent falloff in productivity, increased turnover, and added employee relations problems. Ten more sessions are proposed in the next six months. Management has asked the Training Branch to prepare an interim status report, summarizing its findings and recommendations.

APPLY THEORY X AND/OR THEORY Y PRINCIPLES IN SOLVING THIS PROBLEM.

ORGANIZATION THEORY

OVERVIEW

Chris Argyris' research began by questioning management's traditional assumptions (Theory X) that the ordinary worker is considered to have very little self-discipline or personal pride. He states in his book PERSONALITY AND ORGANIZATION, "Most organizations, especially at the lower levels, are geared for men who make a very child-like adjustment to life: They leave very little leeway for choosing, for using discretion, or for adapting rules to fit circumstances. Most employees are expected to do just as they are told and leave the thinking to the foreman . . ."

BASIC ASSUMPTIONS

1. He suggests adults need a clear indication of what is required and why. A mature adult will take care of the rest.
2. An adult is capable of responding in a wide variety of ways to a given situation. He does not need to be shown the one, best way to do a job. He will become bored if he repeats any set of actions without variation, and variation may actually result in higher productivity than the best method repeated endlessly.
3. Adults have a memory and do not lightly ignore the lessons learned in the past. It is no simple matter to recapture loyalty once it is lost. Inconsistency is regarded with cynicism; there are no easy tricks by which management can undo their past mistakes.
4. Adults can play both subordinate and superior roles, but will accept leadership only if it seems necessary as he does not enjoy being told exactly what to do and when to do it. The adult tends to resist anything that diminishes feelings of self-worth.
5. Adults develop their own interests and values and cling to them in the face of severe pressures to conform. He is not willing to sacrifice everything for the sake of employment.

RECOMMENDED SOLUTIONS

Argyris recommends a flexible leadership style and control structure depending on the demands of the situation and that interpersonal processes -- the ability of management and employees to make their purposes known to each other-- be strengthened by training.

CASE PROBLEMS

1. The new chief of a Contract Compliance Section states all ten professionals in the unit are unable to perform tasks adequately or independently. This requires close and direct supervision and intense coaching and training. While she is not quite certain as to her final plans, she would like to explore with personnel possible ways to reassign some of the offenders and seeks other suggestions which might alleviate the situation.
2. A forms processing unit, though it has a heavy workload, turnover, and relatively simple work (routine, dull, repetitive) still manages to meet production norms with an acceptable error rate. Management would like to keep the high productivity but reduce turnover to a minimum. There are two reasons for this new position: it anticipates difficulty in locating replacements in the light of labor market conditions and its organizational reputation, and the immediate likelihood of a hiring freeze in the next six months.

APPLY THE ORGANIZATIONAL PRINCIPLES OUTLINED ABOVE IN SOLVING THESE PROBLEMS.

THE MOTIVATION HYGIENE CONCEPT

OVERVIEW

Dr. Frederick Herzberg's studies show that certain factors provide job satisfaction (motivators) but others only prevent job dissatisfaction (hygiene factors). He suggests that the absence of these hygiene factors can make a worker unhappy, but their presence will not make him happy or work any harder.

HYGIENE FACTORS

Policy and Administration. Rules, regulations, practices, instructions, etc.

Supervision. Fairness, friendliness, kindness, encouragement, praise, or consistency.

Benefits. Salary; wage increases; fringe benefits like pensions, insurance, vacations, holidays, tuition aid; seniority; grievance procedures; physical facilities like heat, light, acoustics, tools, uniforms, music, cafeteria, restrooms, parking.

Interpersonal Relationships. Social events, after-hour activities, communication programs, grapevine, shop talk.

Status. Job levels, titles and classifications, location in the organization, or special privileges.

MOTIVATION FACTORS (JOB ENRICHMENT)

Work Itself. Opportunity to learn and do more, nature of work, new problems, varied tasks, continuous challenges.

Responsibility. Setting own objectives and standards, own ideas and accountability for them, taxing tasks, minimal supervision, and even more responsibility.

Achievement. Accomplishment, results, meeting goals, contributions, use of skills.

Recognition. Rewards for achievement, transfer or promotion, more responsibility and more opportunities for higher order and more complex tasks.

CASE PROBLEM

A large scientific and engineering organization employs two main kinds of workers: technicians who repair and maintain equipment in the field, and scientists and engineers who custom-design the equipment to meet the requirements of individuals and relatively unique situations.

The agency managed, with some difficulty, to weather a period of intense discontent among the technicians caused by heavy workloads and excessive overtime work. It recognized the problem belatedly and resolved it by a hiring and training program that increased its staff of technicians.

When the technician situation was dealt with, management began to eye its scientists and engineers rather nervously. Though no overt signs of a morale problem were evident, it was known that they too were struggling with heavy workloads and long hours. It was felt soon they too may be on the verge of open conflict as experienced with the technicians. This problem would not be so easily solved. Qualified professionals were in short supply and funds were limited since resources were strained to hire and train more technicians. The agency could ill afford to hire new scientists and engineers.

Management searched for a way to resolve this predicament, preferably in some concrete financial way, such as authorizing overtime pay, individual and group awards, quality step increases, etc. Before doing so, an opinion survey was conducted which found the general level of morale was good, there was no sign of impending deterioration; most were reasonably satisfied with current pay levels, nor did they seek extra pay for the longer hours; and those who worked longest tended to feel most satisfied with the agency and their jobs.

Both groups found their work intriguing, challenging, and absorbing.

Management asked the personnel office for recommendations. Should it drop its plans for financial rewards and recognition and why? Should it stop overtime?

APPLY THE MOTIVATION HYGIENE CONCEPT IN SOLVING THIS PROBLEM.

NOTICES TO EMPLOYEES OF THE RIGHTS, OBLIGATIONS, AND BENEFITS THAT ACCRUE TO THEM AS MEMBERS OF THE FEDERAL WORK FORCE.

Agencies are required to issue annually notices:

1. Reminding employees to bring up to date, information in their records concerning experience, education, and training for consideration for merit promotion.
Reference: FPM chapter 335, section 1-5b.

2. Informing employees about the merit promotion program and its objectives.
Reference: FPM chapter 335, section 5-2(2).

Other Information To Be Given Employees

Agencies are also required to issue appropriate notices:

1. Informing employees and recognized employee organizations of the affirmative equal employment opportunity program and the regulations governing the program.
References: FPM chapter 713, sections 2-4e and 2-7a.

2. Advising employees of their appeal rights in allegedly discriminatory employment practices.
References: FPM chapter 713, section 2-7; and appendix B of that chapter.

3. Informing employees of their right to form, join, and participate in the management of labor organizations of Federal employees freely and without fear of penalties or reprisals.
Reference: Executive Order 11491, as amended; section 1(a).

4. Informing employees of the rights and benefits they retain when they transfer temporarily to international organizations.
Reference: FPM chapter 353, appendix A, section A-1c.

5. Explaining to employees their rights and obligations when they enter military duty, either active or inactive.
Reference: FPM chapter 353, appendix A, section A-1c.

6. Informing employees of their responsibilities in preserving their rights and benefits as Federal employees before they take assignments with State or local governments.
Reference: FPM chapter 334, subchapter 2, section 2-1a.

7. Informing employees about permitted and prohibited political activity.
Reference: Title 5 of the United States Code, subchapter III of chapter 73; and civil service rule 4.1.

TRAINING AND CAREER DEVELOPMENT ADMINISTRATION QUESTIONS

Self-Scoring Key

1. e.
2. FALSE
3. TRUE
4. FALSE
5. TRUE
6. TRUE
7. TRUE
8. YES
9. NO
10. All of the above
11. TRUE
12. FALSE
13. TRUE
14. TRUE
15. FALSE
16. FALSE
17. FALSE

ANSWERS - APPOINTMENT/PROMOTION PROBLEMS

Only #10 and #6 may be considered initially.

Number 1 may not because transfers may not be effected when a qualified person is available on the agency's reemployment priority list. Number 10 is such a person.

Number 4 may not because Group II persons are to be retained on reemployment priority lists for only one year after separation.

Numbers 7 and 8 may not because only 10-point preference eligibles may be hired by new appointment from outside the agency when a reemployment priority list eligible is qualified and available. Number 10 is such a person.

If #10 declines, then all others except #4 and # 9 may be considered (in accordance with the Area of Consideration stipulations of the agency's MPP).

MERIT PROMOTION PROGRAM DISCUSSION QUESTIONS

Scoring Key

1. False
2. True
3. False
4. True
5. False
6. True
7. True
8. False
9. True
10. True
11. True
12. False

INTRODUCTION TO PERSONNEL MANAGEMENT

Course Evaluation

INSTRUCTIONS. In our efforts to make this a more meaningful training experience, we would appreciate your opinion on the extent to which the training objectives were attained. Be completely frank in checking your responses and in making your comments. Use the space provided and/or the back of the sheet. Evaluate only in terms of the stated objectives.

OVERALL PROGRAM EVALUATION. The course objective was to provide an introduction to fundamental principles, procedures, practices, and problems common to basic federal personnel management and its principle areas of specialization (staffing, classification, employee relations, training and career development. In your view was this overall objective met?

( ) Definitely (Excellent)
( ) Mostly (Very Good)
( ) To Some Extent (Satisfactory)
( ) Not at All (Unsatisfactory)

TRAINEE OBJECTIVES. In your view, were your overall objectives reached? If not, please explain.

( ) Definitely (Excellent)
( ) Mostly (Very Good)
( ) To Some Extent (Satisfactory)
( ) Not at All (Unsatisfactory)

COMMENTS.

NAME (optional)____

UNIT OBJECTIVES

Course Evaluation

Major Training Objectives (Refer to objectives statements.)	Were objectives achieved? CHECK				If objectives were not achieved, or only partially, what factors were responsible?									
	Definitely	Mostly	Some Extent	Not at All	Instructor(s)	Content	Training Method(s)	Time	Exercises	Workshops	Case Study	Training aids	Facilities	COMMENT (Use back of sheet if required.)
Personnel Management as a Part of Management														
Tools of Federal Personnel Management														
Position Classification														
Staffing and Placement														
Employee Relations														
Labor Management Relations														
Training and Career Development														
Equal Employment Opportunity														
Impact of Behavioral Science Research on Personnel														
Applying Personnel Management Principles: A Review														